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 RFA Clarification Questions Due: June 08, 2012
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 Subject: Request for Applications # RFA-OAA-12-000025
 RFA Title: Development Grants Program (DGP)

The United States Government, through the US Agency for International Development's Office of Innovation and Development Alliances (IDEA), Local Sustainability (LS) Division, is inviting applications from prospective partners that are either Private and Voluntary Organizations based in the United States (US PVOs) or indigenous, local Nongovernmental Organizations (LNGOs) for the Development Grants Program (DGP).

The IDEA Office seeks to reach development goals more quickly, cost-efficiently, sustainably, and at wider scale through innovation (meaning significant, not incremental, improvements in development impact) and partnership. The LS Division of IDEA works to improve the sustainability of civil society organizations by focusing on supporting innovative local development projects and capacity development.

The overall objective of the DGP is to contribute to improved and sustainable grass roots development by supporting development projects and strengthening capacities of nascent development partners in countries where the DGP is active. The DGP has a priority of strengthening LNGOs and US PVOs, recognizing that a vibrant and active NGO sector is fundamental to promoting a healthy democracy that is accountable and responsive to citizens' needs.

Below is the list of countries and sectors for which applications may be submitted under this RFA. Please refer to the country-specific guidelines in [Appendix 1](#) for more information on the types of activities and geographic areas that will be supported and which USAID Mission covers each country.

Country	Sector(s)	Mission
Angola	Water Supply and Sanitation	Angola
	Basic Education	
	Microenterprise	
	Agriculture	
	Health-HIV/AIDS	
Azerbaijan	Rural Development	Azerbaijan
Benin	Basic Education for Disadvantaged Populations	Benin
	Family Health Services for Peri-Urban Populations	

Country	Sector(s)	Mission
Bosnia	Education/Reconciliation	Bosnia
Botswana	Integrated Water and Climate Change	South Africa Regional
Dominican Republic	Water Supply and Sanitation/Feed the Future	Dominican Republic
Ecuador	Private Sector Competitiveness	Ecuador
Georgia	Microenterprise Basic Education	Georgia
Honduras	Education	Honduras
	Water & Citizen Security	
Indonesia	Water Supply and Sanitation	Indonesia
Jamaica	Basic Education	Jamaica
	Civic Participation	
	Climate Change Adaptation	
Kazakhstan	Microenterprise	Central Asia Regional
	Water Supply and Sanitation	
Kosovo	Energy Efficiency Awareness	Kosovo
	Business Advocacy	
	Private Sector Competitiveness	
	Pre-Primary Education	
Macedonia	Democracy and Governance	Macedonia
	Education	
	Economic Growth	
Madagascar	Water Supply and Sanitation	Madagascar
Mali	Basic Education	Mali
Mongolia	Climate Change	Mongolia
	Biodiversity Conservation	
	Microenterprise	
Mozambique	Private Sector Competitiveness	Mozambique
	Basic Education	
Nepal	Water Supply and Sanitation	Nepal
Nicaragua	Democracy and Governance	Nicaragua
	Basic Education	
Nigeria	Basic Education	Nigeria
	Water Supply and Sanitation	
	Microenterprise	
Office of Middle East Programs*	Water Supply and Sanitation	Office of Middle East Programs
Philippines	Biodiversity Conservation and Watershed Management	Philippines
	Toxic Waste	
Senegal	Basic Education	Senegal
South Africa	Integrated Water and Climate Change	South Africa Regional
South Africa Regional**	Integrated Water and Climate Change	South Africa Regional
Sri Lanka	Services for Vulnerable Populations	Sri Lanka
	Livelihoods	
	Civic Dialogue and Cross-community Activities	
Tajikistan	Human Rights	Central Asia Regional
	Disaster Risk Reduction	

Country	Sector(s)	Mission
	Microenterprise	
Turkmenistan	Private Sector Competitiveness	Central Asia Regional
Ukraine	Water Supply and Sanitation	Ukraine
	Climate Change	
	Media	
<p>* Office of Middle East Programs (OMEP) - applications must include activities that are inherently regional or trans-boundary in nature, involving more than one Middle East Region country. Middle East Region countries include Egypt, Iraq, Jordan, Lebanon, Morocco, West Bank/Gaza and Yemen.</p>		
<p>** South Africa Regional - applications must include activities that are inherently regional or trans-boundary in nature, involving more than one Southern Africa Region country. Southern Africa Region countries include Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia and Zimbabwe.</p>		

Under this RFA, the DGP strongly encourages and will support innovative work in all sectors, but places some emphasis on projects which address issues of *basic education* or *water supply and sanitation*. Projects in any sector which strengthen the role of *microenterprises* are also encouraged. USAID definitions of *basic education*, *water supply and sanitation* and *microenterprise* may be found in [Appendix 2](#) of this RFA. Applications should prioritize innovative approaches, utilize new implementing partners and work in underserved communities. Applicants should consider the alignment of projects with Agency priorities and initiatives, specifically those identified by the Mission of the country in which the work will be performed (see country-specific guidance in [Appendix 1](#) and consult the Mission websites referenced therein). Please refer to the other sections of this RFA for a complete statement of goals and criteria for selection of successful concept papers and full applications in this **two-stage application process**.

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

Subject to the availability of funds, USAID intends to provide up to \$30 million in total USAID funding via grants and cooperative agreements in amounts up to but not exceeding \$2 million. If a participating Mission has chosen to set the award ceiling lower than the \$2 million maximum, this is noted in their country-specific guidance in [Appendix 1](#). A substantial portion of the total funding will support activities that strengthen the organizational and technical capacities of LNGOs, US PVOs, and key local development partners. Subject to the availability of funds the period of performance for an award under this RFA will be up to Five (5) years from the date an agreement is signed. [Appendix 1](#) lists all country-specific award parameters and requirements. USAID reserves the right to fund any or none of the applications submitted. Applications received after the deadline will not be considered unless the reason for delayed submission is deemed justified to the Agreement Officer or it is in the interest of the Agency to waive this requirement.

Award will be made to the responsible applicant whose applications offer the greatest

value to the U.S. Government. Issuance of this RFA does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of an application.

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "US Agency for International Development" and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

Applicants should also note that the documents listed in this RFA under "Useful References" (if any) are intended only as sources for background information that may be helpful to applicants, but are not a part of this RFA. All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. Any questions about this RFA should be submitted in writing no later than date listed above to the following email address: QA-DGP@usaid.gov. USAID/Washington will collect, organize and respond to these questions by posting an amendment to the RFA on www.grants.gov and on the [DGP website](#).

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement;" "Grantee" is synonymous with "Recipient;" and "Grant Officer" is synonymous with "Agreement Officer."

Submission of concept papers is due on **July 2, 2012** at the time specified by each Mission in Appendix 1. With the exception of US PVO registration with USAID (a complete application for which must have been received by USAID by the concept paper deadline), all other eligibility requirements of this RFA must be met by this date.

Following are the estimated dates of major procurement events:

Application Timeline

Events	Date
RFA related questions due from Applicants	June 08, 2012
Responses to RFA questions disseminated	June 15, 2012
RFA closed/concept papers due	July 2, 2012
Applicants notified of concept paper status. Selected Applicants asked by Missions to submit Full Applications	August 1, 2012
Full Applications due	September 3, 2012
Technical / Cost Evaluation of Full Applications and Discussions/Clarifications	September 3 thru October 15, 2012
Applicants notified of decisions	October 15, 2012
Anticipated Award Date	1- 4 Months (dependent on successful "Determination of Responsibility." Please see Full Application-Cost Application/

The final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Concept Papers are submitted at the risk of the applicant; should circumstances prevent award of an agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution is via Grants.gov on the internet. This RFA and any future amendments can be downloaded from <http://www.grants.gov>. If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1-800-518-4726 or support@grants.gov for technical assistance. It is the responsibility of the recipient of the application document to ensure that it has been received from Grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

Sincerely,

/s/

Portia Persley
Agreement Officer
USAID/Washington

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

- Section I – Funding Opportunity Description
- Section II – Award Information
- Section III – Eligibility Information
- Section IV – Application and Submission Information
- Section V – Award Review Information
- Section VI – Award Administration Information
- Section VII – Agency Contacts
- Section VIII – Other Information
- Section IX – Annexes and Appendices

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ACRONYMS

ADS	Automated Directives System
AO	Agreement Officer – the USAID staff person responsible for managing the procurement process, negotiating awards and ensuring that USAID funds are appropriately utilized.
AOR	Agreement Officer's Representative – the USAID staff person responsible for oversight of award implementation. For the DGP, the AOR will reside in the country or region where the grant is implemented.
CA	Cooperative Agreement
CFR	Code of Federal Regulations
CV	Curriculum Vitae
DGP	Development Grants Program
EEO	Equal Employment Opportunity
FAR	Foreign Assistance Regulations
FAQ	Frequently Asked Question
FOG	Fixed Obligation Grant
FY	(US Government) Fiscal Year (October 1 – September 30)
IDEA	USAID Office of Innovation and Development Alliances
IIE	Initial Environmental Examination
IPR	Implementation and Procurement Reform
LNGO	Local Non-Governmental Organizations
LS	Local Sustainability Division within IDEA
NGO	Non-Governmental Organizations (refers to both LNGOs and U.S. PVOs)
NICRA	Negotiated Indirect Cost Rate Agreement
OAA	Office of Acquisition and Assistance
OMB	Office of Management and Budget
RFA	Request for Applications
RFCP	Request for Concept Papers
TBD	To Be Determined
TDY	Temporary Duty Assignment
U.S. PVO	Private Voluntary Organizations
USAID	United States Agency for International Development
USAID/W	United States Agency for International Development/Washington
USG	United States Government
WSSH	Water Supply, Sanitation and Hygiene

Note: For the purposes of this RFA, the term "Grantee" is synonymous with "Recipient" and the term "NGO", refers to both "local NGOs" and "U.S. PVOs" unless otherwise noted.

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

This section includes a general description of the proposed program, a statement identifying the authorizing legislation, and a discussion of how awards will be administered.

1. PROGRAM PURPOSE AND OBJECTIVES

The United States Agency for International Development (USAID) established the Development Grants Program (DGP) as a small grants program to increase the number and quality of NGO (both local and U.S.-based) implementing partners who can meet the needs of the communities they serve and contribute to the accomplishment of the Agency's goals and objectives. The DGP is closely aligned with Agency Initiatives to strengthen and sustain civil society by strengthening capacities of LNGOs (Definition of LNGO on page 14-15) and US PVOs to address today's pressing development challenges.

The objectives of the DGP as presented in this Request for Applications are:

1. Broadened participation in USAID programs of LNGOs (especially key local Intermediary Organizations with potential to generate systemic and scalable high impact development) and US PVOs with experience and expertise relevant to priority USAID and partner country development objectives;
2. Expanded numbers of LNGOs and US PVOs with planning, management and service delivery systems adequate to implement USAID-funded activities, and adequate organizational capacity to sustain development activities beyond USAID and DGP support; and,
3. Measurable contributions by LNGOs and US PVOs to the achievement of the development objectives for participating USAID Missions' country programs, in particular as they pertain to Agency priorities and initiatives.

USAID strongly encourages cost sharing with non-USG partners, and where appropriate and feasible, the creation of local alliances (See Section IIIB), particularly variations of public, private and civil society partnerships. An "alliance," in this sense, is a formal agreement between two or more parties created to jointly define and address a development problem. Alliance partners combine resources, risks and rewards in pursuit of common objectives. Alliance partners make financial and/or in-kind contributions to increase the impact and sustainability of development efforts. Both US PVOs and LNGOs are strongly encouraged to consider alliances with private partners and foundations as a means of leveraging the DGP program funding for greater impact and sustainability. For more information about USAID and alliance building, please see: <http://inside.usaid.gov/idea/GP>.

A. BACKGROUND

LNGOs and US PVOs work in a wide variety of sectors. Their expertise, experience, flexibility, responsiveness to local priorities, and innovative approaches enable them to make important contributions to communities, civil society and to USAID's development objectives. USAID's past support and partnership with US PVOs and LNGOs has produced many substantial development achievements and has resulted in organizations with strengthened capacity to achieve critical development outcomes. In recognition of the important contribution of a vibrant, diverse, civil society to international development and to promote direct grant relationships between USAID and US PVOs and LNGOs, Congress created the DGP through the enactment of Section 674 of the Consolidated Appropriations Act of 2008. Beyond funding and strengthening new or relatively new USAID NGO partners, the DGP aims to change the infrastructure and culture of USAID to enable the Agency to make more direct awards to civil society organizations, to learn from this process and to inform USAID policies and programs based on these lessons. Section 674 of the FY2008 Consolidated Appropriations Act (P.L. 110-161) authorizes the DGP, which was continued via subsequent appropriations legislation, including PL 112-74 FY 2012 Consolidated Appropriations Act which provides appropriation of funds for the current program.

B. AGENCY PRIORITIES AND INITIATIVES

The DGP supports the foreign assistance priorities of USAID and the U.S. Government and provides a unique vehicle for nascent US PVOs and LNGOs to receive direct development assistance from USAID and make important contributions to development and humanitarian objectives. The DGP is closely aligned with the USAID Forward Implementation and Procurement Reform (IPR).

IPR efforts aim to strengthen the capability of USAID staff to be development entrepreneurs, including contracting with and providing grants and cooperative agreements to more and varied local partners, and creating true partnerships to establish the conditions in which aid is no longer necessary in the countries where USAID works. One of the six objectives of IPR is to strengthen USAID's direct relationships with local civil society and private sector partners and build their capacity and sustainability. The DGP strengthens civil society by; providing direct grants to new and nascent local partners; building their capacity to both manage complex development programs and better meet the needs of their constituents; and, building capacities of other small and associate LNGOs. By empowering grantees to identify organizational strengths and weaknesses and then working with them to procure local or regional institutional and capacity development support, the DGP aims to strengthen the market for capacity development services by local indigenous providers.

C. USAID MANAGEMENT OF THE DGP

The DGP is a USAID Mission-driven program coordinated by USAID's Washington D.C.-based Local Sustainability (LS) Division in the Office of Innovation and Development Alliances (IDEA), an independent office under the USAID Administrator.

USAID Missions will negotiate awards and administer all grants and Cooperative Agreements awarded under this DGP RFA. Each participating USAID Mission will review applications submitted for the DGP and will lead the selection, negotiation, issuance and administration of its awards. Following award, the Recipient will be assigned an Agreement Officer's Representative (AOR) [formerly known as the Agreement Officer's Technical Representative (AOTR) or Cognizant Technical Officer (CTO)] in the Mission who will have USAID technical management responsibility for the award and will be the point of contact for the recipient. The Agreement Officer (AO) and the AOR will be responsible for receiving reports and processing any modifications to awards. The Mission will ensure that the Recipient will have ongoing guidance, support and monitoring by Mission staff, and regular capacity assessments and responsive training and technical assistance through local providers to strengthen organizational capacities.

IDEA/LS provides overall guidance and technical support in response to requests from Missions, ensures transfer of funds to Missions as appropriated by the Congress and allocated by USAID. IDEA/LS does not participate in the review of applications unless participating USAID Missions request involvement in the technical review process. IDEA/LS will facilitate knowledge management by collecting and sharing successful practices, policies, experiences with funding mechanisms, and other important program implementation information across Missions, within USAID and with development partners.

D. CAPACITY DEVELOPMENT OF GRANTEES

A key component of the DGP is to enable grantees to develop their organizational and technical capabilities to become stronger, more flexible and more sustainable development partners that can rapidly respond to the evolving needs of those they serve. Organizations which receive DGP awards will have access to capacity development support, predominantly from local training and technical assistance providers, to enhance their organizational and/or technical capabilities. The DGP also aims to enable key local intermediary organizations to build organizational capacities of small, nascent local NGOs to implement effective and sustainable community-based development programming. The nature of capacity building support will be determined by USAID Mission staff members' assessments of and ongoing discussions with DGP finalists.

For the full application phase of this RFA, applicants are required to provide a capacity development plan. Under a DGP award, a Mission may decide to: manage the capacity development services for the grantee; empower the grantee to purchase the training and support that they require, or work with the grantee to strengthen their plan; assist the grantee with a more in-depth capacity assessment and the identification of appropriate service providers to meet their needs. In all cases, applicants are required to submit a brief plan for how they will develop their own capacity. If deemed appropriate by IDEA/LS, the DGP grantee and the Mission, IDEA/LS may provide additional support via local or regional organizational capacity

development experts. Some Missions have already identified the specific service provider to be used and have included the information in the country-specific guidance in [Appendix 1](#). [Appendix 3](#) provides additional guidance on Capacity Development, including resources and tools that Applicants can use in their preparation of the capacity development component of their concept papers and (if invited) their full applications.

E. SECTORS AND GEOGRAPHIC FOCUS

This RFA encourages applicants to propose effective, innovative approaches that contribute to the achievement of development objectives in sectors identified in the country-specific guidance in [Appendix 1](#). Applicants should only submit concept papers for programs in countries listed in [Appendix 1](#). Concept papers should only request support for activities that comply with the country-specific guidance provided in [Appendix 1](#).

Under this RFA, the DGP will fund projects in all sectors covered in the country-specific guidance, but some emphasis will be placed on those which address issues of *basic education* or *water supply and sanitation*, or either directly or indirectly support *microenterprise*. USAID definitions of *basic education*, *water supply and sanitation* and *microenterprise* can be found in [Appendix 2](#) of this RFA.

2. AUTHORIZING LEGISLATION

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Any resulting awards will be subject to 22 CFR 226.

3. AWARD ADMINISTRATION

The anticipated award will be subject to OMB Circulars, Standard Provisions for U.S. Nongovernmental Organizations (NGOs), and as stated above 22 CFR 226. Please refer to ADS 303.4 and ADS 303.5 for a complete list of regulations, OMB Circulars, agency level policy directives and standard provisions for US NGOs.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments, such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under assistance agreements.

SECTION II – AWARD INFORMATION

1. FUNDING

USAID anticipates that this RFA will provide up to \$30 million for successful Applicants, pending availability of funds. All awards will be made on a competitive basis by participating USAID Missions via grants and cooperative agreements in amounts up to but not exceeding \$2 million. If a participating Mission has chosen to set the award ceiling lower than the \$2 million maximum, this is noted in their country-specific guidance in Appendix 1.

2. PERIOD OF PERFORMANCE

Awards funded under this RFA will support projects which will begin in FY2013 and continue for up to five (5) years, unless otherwise specified by the relevant Mission in the country-specific guidance of Appendix 1.

3. AWARD TYPE

USAID may decide to provide awards through either:

- 1) A Cooperative Agreement (CA) designed to enable USAID to partner with organizations having limited or no experience working directly with USAID;
- 2) A Simplified Grant; or
- 3) A Fixed Obligation Grant (FOG) which quantifies project milestones and ties disbursements of funds to achievement of those milestones.

A Cooperative Agreement provides for USAID to have substantial involvement during the award to assist the grantee in achieving the supported objectives of the agreement. An explanation of this “substantial involvement” can be found at <http://www.usaid.gov/policy/ads/300/303.pdf>. Grants do not include substantial involvement.

Under this RFA, the DGP will support work in all sectors, but places some emphasis on projects which address issues of *Basic Education, Water Supply and Sanitation*, or (directly or indirectly) *Microenterprise* - definitions of which may be found in Appendix 2 of this RFA.

SECTION III – ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

To be eligible for an award, the applicant must submit their application in accordance with Section IV of this RFA. Incomplete applications will not be considered. The following eligibility requirements will apply to both the principal Applicant and to any organization with which the prime Applicant may choose to share DGP implementation responsibilities and flow down funds through a sub-award or sub-grant. Applicants may utilize the services of consultants, for-profit organizations, foundations, universities and other partners for specific tasks or activities under the award but these services should be included as individual line items in the applicant's budget and the service providers will not be considered as sub-awardees.

Only US PVOs and LNGOs, as defined in the three points below, are eligible for awards under this RFA.

1. US PVOs

To be eligible for this program, US PVOs must be registered (or in the process of being registered) with USAID to compete for a grant under the DGP. Only US PVOs whose complete registration materials have been received by USAID by the concept paper submission deadline are eligible. For registration information, see:

http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/reg.html

US PVO definition: The definition of PVO for USAID can be found under 22 CFR 203.2 “Definitions”. See definition No. (p) at the link below:

http://edocket.access.gpo.gov/cfr_2006/aprqr/22cfr203.2.htm

US Private Voluntary Organization (U.S. PVO) means an entity that: (1) Is organized under the laws of the United States and headquartered in the United States; (2) Is a nongovernmental organization (NGO) that solicits and receives cash contributions from the U.S. general public; (3) Is a charitable organization in that it is nonprofit and exempt from Federal income taxes under section 501(c)(3) of the Internal Revenue Code, and is not a university, college, accredited degree-granting institution of education, private foundation, hospital, organization established by a major political party in the United States, organization established, funded and audited by the U.S. Congress, organization engaged exclusively in research or scientific activities, church, synagogue, mosque or other similar entity organized primarily for religious purposes; and (4) Conducts, or anticipates conducting, overseas program activities that are consistent with the general purposes of the Foreign Assistance Act and/or Public Law 480.

2. Local NGOs (LNGOs)

Local NGOs are entities that meet the definition of “local organization” set forth

below which are not government-controlled or government-owned (i.e. a majority of the members of the governing body are government employees/appointees or the recipient government owns a majority interest).

To be eligible for a DGP award, a Local NGO may be either a non-profit or for-profit organization. In either case, profit may not be included under the DGP or any other USAID assistance award (grant or cooperative agreement).

USAID defines a local organization as one which:

- Is organized under the laws of the recipient country;
- Has its principal place of business in the recipient country;
- Is majority owned by individuals who are citizens or lawful permanent residents of the recipient country or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of a recipient country; and
- Is not controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the recipient country.

The term “controlled by” means a majority ownership or beneficiary interest as defined above , or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization’s managers or a majority of the organization’s governing body by any means, e.g., ownership, contract, or operation of law.

“Foreign entity” means an organization that fails to meet any part of the “local organization” definition.

For the purpose of DGP award eligibility, the definition of a local organization also includes regional organizations that meet the following criteria:

- Be organized under the laws of a country in the region;
- Have its principal place of business in the region;
- Be majority owned by individuals who are citizens or lawful permanent residents of the region or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of the region; and
- Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the region.

3. US PVOs and LNGOs

To be eligible for this program, organizations must not have received more than \$5,000,000 from any U.S. Government Agency in direct assistance during the past five-year period (March 15, 2007 through March 15, 2012). The date to which the \$5 million threshold criteria refers is the date that the award from which your organization received direct USG support was signed. The \$5,000,000

threshold includes any type of assistance (in country or world-wide) received directly by the US PVO or Local NGO from USAID or any U.S. Government Agency through a grant or cooperative agreement during the five-year period. Applicants who have received indirect USAID assistance (sub-awards or other indirect assistance) totaling more than \$5,000,000 are eligible.

B. DGP PROGRAM REQUIREMENTS

Applicants must:

- **Provide a cost-share match** equivalent to, or greater than **10 percent** for LNGOs and 15 percent for US PVOs of the total project amount. The match may be in cash, in-kind, or a combination of both. All cash and in-kind contributions committed by partners must be documented. Valuation of the cost share must be realistic and will be examined as part of the application evaluation process;
- If proposing a public-private alliance with an organization or business, **provide a copy of informal or formal agreements** stipulating cash and/or in-kind contributions (subject to USAID award); and
- Propose technical implementation **activities in a country (or countries, if regional) listed in this RFA**. Note: Only regional Missions listed in the RFA will accept applications for multiple countries.

The DGP cannot finance programs that are:

- pure academic research;
- only construction;
- commodity procurement;
- not focused on development (e.g. short-term emergency relief); or,
- In violation of the standard provision “Equal Protection of the Laws for Faith-based and Community Organizations” (See sub-section E of Section 6 for the text of this provision).

Pursuant to 22 CFR 226.81, USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization), may be paid under the grant.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

1. ADDRESS TO REQUEST APPLICATION PACKAGE

This application is found on the internet at www.grants.gov. Potential applicants that cannot download application materials directly from www.grants.gov may request electronic copies of the RFA directly by emailing QA-DGP4@usaid.gov.

There are two (2) steps in the application process under this RFA:

Step One (1): Submission of a concept paper (Section IVA below)

Step Two (2): Submission of a full application, if requested (Section IVB below)

Do not submit a full application unless requested to do so by a USAID Mission.

Missions will notify Applicants that have submitted concept papers by August 1, 2012 whether or not to submit a full application. Applicants that are requested by a USAID Mission to submit a full application should follow the instructions included in Section IVb of this RFA.

Before submitting a concept paper under this RFA, Applicants should review the full application requirements in Section IVb to ensure the Applicant can meet all of the requirements listed therein. Reviewing these requirements will help the Applicant understand what information is most appropriate for a concept paper and what details can be left for the full application.

The federal grant process is now web-enabled via the Grants.gov website and provides a single source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from <http://www.grants.gov>. To do so, please go to <http://www.grants.gov>, click on the quick link “Grant Search” then click on “Browse by Agency” and choose “U.S. Agency for International Development”, then search for Development Grants Program. It is important that interested organizations sign-up for “grant email alerts” with Grants.gov (also a quick link) so that they are made aware of any future amendments to this RFA. Applicants do not have to be registered users of Grants.gov to receive alerts. If there are problems or you have difficulty with Grants.gov, please contact the Grants.gov Helpdesk at: 1-800-518-4726 or via email at: support@usaid.gov for technical assistance. It is the responsibility of the Applicant to ensure that the RFA and all relevant attachments have been received from Grants.gov in their entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

IVA. CONCEPT PAPER SUBMISSION

The country-specific guidance of [Appendix 1](#) specifies the required method(s) of submission for each Mission participating in this RFA. Please submit applications

according to the indication for the country. All concept papers (paper and electronic) must be received by the RFA closing date and time or risk not being considered.

Email: Send one electronic copy by email to the relevant Mission email address provided in Appendix 1, with a copy (cc) to DGP@usaid.gov. Email submissions must include the following in the subject line: "Concept paper for DGP-4, submitted to [name of bilateral or regional USAID Mission] by: [name of Applicant organization]."

By Hand/ by post: If indicated in Appendix I, please follow Mission instructions there in. (Note: some Missions may only accept electronic submissions.)

Grants.gov: Applicants may upload applications to www.grants.gov. **Faxed concept papers will not be accepted.**

A. DEADLINE FOR SUBMISSION OF CONCEPT PAPERS

The deadline for concept paper submissions is **July 2, 2012 at the time specified by each Mission in Appendix 1**. Concept papers received after the deadline will only be reviewed at the discretion of the Mission.

B. CONCEPT PAPER FORMAT AND CONTENT

Concept papers must respond to the country-specific priorities and instructions as set forth in Appendix 1 by each participating Mission.

Important considerations for concept paper submission:

- If planning to submit a concept paper for more than one country, the Applicant must submit a separate concept paper for each country unless proposing to work in multiple countries through a USAID regional mission.
 - Only participating regional missions will accept concept papers for more than one country;
- While USAID encourages creative partnerships and innovative approaches, we also strongly encourage applicants to be realistic in stating what can be reasonably achieved in the proposed project given the proposed activities, budget and timeline.

Missions may choose to offer all of their DGP applicants the opportunity to present the information in their concept paper orally and in-person. The information presented will be considered in addition to the written concept paper and will be evaluated by the criteria set forth in this RFA. If the Mission to which you have applied chooses to offer this, you will be contacted by the Mission upon receipt of your concept paper to schedule a meeting for the presentation and obtain details of the presentation content and length.

Concept Paper Format

All concept papers must be:

- A maximum of six (6) pages;
- Typed, single space on letter size, not legal size, paper;
- Printed in 12 font size; charts, tables and spreadsheets may be not less than 10 font;
- Written in English unless otherwise indicated in the country specific information in Appendix 1;
- If submitted electronically, written in Word (version 2000 or later) or Adobe PDF format with spreadsheets in MS Excel (version 2000 or later) or in tables that are compatible with MS Word.

The six-page maximum does not include the cover page or attachments. The attachments must be concise and not be a continuation of the requested six-page content.

Concept papers must include the following three (3) components and address all sub-components. Please organize the concept paper according to the outline below.

a. Cover Page (does not count towards 6 page limit)

- USAID RFA # RFA-OAA-12-000025
- Name and address of organization;
- Contact person (lead contact name; telephone number, fax and e-mail Information);
- Name(s) and title(s) of the principal author(s) of this concept paper;
- Title of proposed program; country and DGP sector(s) being proposed; total dollar amount of funds requested for the project period;
- Identify applying organization as a registered US PVO or a LNGO;
- Names of other organizations or donors to whom the Applicant is submitting the application and/or which are funding the proposed activities; and
- Signature, name and title of the authorized representative of the applicant.

b. Technical Description (6 pages maximum)

Situation analysis: A brief background on the specific development challenge/opportunity to be addressed by the concept paper; include a description of the target population and how and where this project concept originated (for example: a village needs assessment; findings from/ the continuation of a different project; through an assessment of country/district level data, etc.); and justification for why the applicant is the appropriate entity for addressing the identified development challenge effectively and in the long-term, and/or generating catalytic change leading to scalable development impact.

Proposed approach: The proposed approach to this development

challenge/opportunity; include goals, objectives, methods (activities), and anticipated results which are logically connected and effectively address the challenge. Describe how the program will measure success and why the Applicant's organization is well suited to achieve the proposed objectives. Include any innovative or scalable methods or approaches, if any, including associated risks and benefits. Discuss how the proposed project impacts men and women differently and how the project design incorporates gender concerns; and if the applicant is a local intermediary organization, describe plan for outreach and capacity building for small LNGOs and expected impact.

Connection to USAID goals and priorities: How achieving these objectives will contribute to the accomplishment of the relevant USAID Mission's strategic goals and contribute to Agency priorities.

Budget: Proposed budget and timeline including type of budget support requested from USAID disaggregated by direct and indirect program costs. Direct costs include but are not limited to costs of salaries, workshops, travel, communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc. Indirect costs include those that are incurred by an organization overall but that cannot be attributed directly to a specific project.

Sustainability: A discussion of sustainability: How will the program/project/activities be sustained beyond the life of the award.

Capacity development: A description of how the Applicant will utilize DGP capacity development funds to strengthen their organization. For this component, applicants must submit a description of their plan for assessing their organizational capacity to meet USAID requirements and to implement effective and sustainable programming; and the capacity development objectives and activities they would undertake if awarded a DGP grant.

It may be helpful to review the resources listed in Appendix 3 of this RFA, the USAID *Organizational Capacity Assessment* (OCA) tool located at (<http://www.pactworld.org/galleries/resource-center/Intro%20to%20OD%20First%20Edition.pdf>), the *Recent Practices in Monitoring and Evaluation – TIPS* located at (http://pdf.usaid.gov/pdf_docs/pnacq612.pdf), and to consider what types of activities an applicant might undertake to improve their organization and development impact. Questions that applicants may want to consider include:

- Would training on financial management be useful?
- Would it be helpful to have a staff development plan or a communications and marketing plan?

- Could staff benefit from project management or monitoring and evaluation training?
- What capacity development objectives could the applicant reasonably meet over the period of performance of their DGP award?

For this component of the concept paper, USAID encourages applicants to consider their strengths and weaknesses as an organization, and to discuss how DGP funds might be used to help strengthen their organizations to achieve greater, longer lasting impact. See [Appendix 3](#) for more information on assessing organizational capacity and creating organizational development plans.

Partnerships: Role of proposed partners, why each was selected and how the Applicant will work with these partners in this proposed project. Note: please review carefully the eligibility criteria listed in Section III A, which delineates sub-awards and the use of service providers.

Cost Share: Amount and source of cost share contribution in cash or in kind, by Applicant; submit information indicating the financial and/or in-kind resources to be leveraged. A cost-share or match from non-government sources of 10% or more for LNGOs is required. A cost share of 15% or more is required for U.S. PVOs. Submit a written commitment by other organizations, partners, donors or individuals to share costs, subject to the award of DGP funds by USAID. Note: please review carefully the full application cost share requirement in Section IVb.C.3.11 (Pg. 29).

c. Attachments (No page limit; but please be concise)

- Statement of USAID and/or U.S. Government assistance (directly or as a subgrantee) received during the preceding five year period. Organizations that did not receive USAID funds during the preceding five-year period must state this fact. Include a brief description of activities, donor(s) and amount of support received in the previous five years
- Concise description of the Applicant's development experience including project descriptions, results and evaluations;
- A brief statement of the history of the organization; its primary development focus, capabilities and challenges;
- An organizational chart of the Applicant organization;
- Proposed staff roles and responsibilities; and
- Period of performance (i.e. life of project) work plan.

IVB. FULL APPLICATION INSTRUCTIONS

Do not submit a full application unless requested to do so by a USAID Mission.
The following full application instructions and content may be edited by the participating Mission Agreement Officer at his/her discretion.

Missions will notify Applicants on or about August 1, 2012 whether to submit a full application or not.

A. FULL APPLICATION SUBMISSION

Submit full applications to the appropriate USAID Mission according to the instructions below and in the same manner (email / paper copies) as concept papers.

1. Email: To the Mission contact email address provided in Appendix A with a copy (cc) to DGP@usaid.gov; Email submissions must include in the subject line: "Full application for DGP4, submitted to [name of USAID Mission] by: [name of Applicant organization]."
2. Hard copy if applicable: same manner as concept papers (See Section IVA).
3. Fax: Faxed full applications will not be accepted.

B. DEADLINE FOR SUBMISSION OF FULL APPLICATIONS

Do not submit a full application unless requested to do so by a USAID Mission.

The Mission will inform successful concept paper applicants about the deadline (including local time, and date) for full application submission at the receiving Mission. If both the electronic and paper (if required) applications are not received by the Mission by the deadline set by the Mission, the application may be rejected.

Missions may choose to offer all of their DGP applicants the opportunity to present the information in their full application orally and in-person. The information presented will be considered in addition to the written application and will be evaluated by the criteria set forth in this RFA. If the Mission to which you have applied chooses to offer this, you will be contacted by the Mission upon receipt of your application to schedule a meeting for the presentation and obtain details of the presentation content and length.

C. FULL APPLICATION FORMAT AND CONTENT

1. Full application Format (number of pages indicate maximum per-section)

- A maximum of twenty-five (25) pages;
- Typed, single space on letter size, not legal size, paper
- 12 font size; charts, tables and spreadsheets may be not less than 10 font.
- Technical and cost applications shall be submitted together and all materials and supporting documentation must be in English unless otherwise indicated by the Mission requesting the full application.
- Text must be in a recent Windows-compatible version of MS Word (version 2000 or later) or Adobe PDF format;

- Spreadsheets must be in MS Excel (version 2000 or later) or in tables that are compatible with MS Excel.

The twenty-five page limit does not include: The cover page; table of contents; dividers; the cost application; or appendices or attachments (such as the résumé or Curriculum Vitae (CV) for the proposed Project Director).

The submitted paper copy application (if requested) will be used for the official page count. Pages in excess of stated limitation will not be considered.

2. PUBLIC DISCLOSURE

For both the technical and the cost application, Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, an Agreement is awarded to this Applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting Agreement. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets (to be filled in by the Applicant)."

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

3. FULL APPLICATION CONTENT

The table below lists the full application sections and page limits.

[This part of the page is left blank intentionally]

Application section	Page limit
1. Cover Page	None
2. Executive Summary	1 page
3. Technical Approach	7 pages
4. Innovation	1 page
5. Project Management Approach and implementation Plans	3 pages
Planning Matrix	2 pages
6. Monitoring and Evaluation Plan	2 pages
7. Institutional Capabilities/Past Performance	2 pages
8. Organizational Assessment and Institutional Capacity	2 pages
9. Gender Integration	2 pages
10. Cost Share	2 pages
11. Environmental Compliance	1 page
12. Attachments/certifications	no page limit; please be concise
Page Limit: 25 pages (not including cover page and attachments)	

Please note, applications that do not include all of these sections will be considered incomplete and will not be scored.

1. Cover Page

The cover page shall include:

1. USAID RFA # RFA-OAA-12-000025;
2. Name and address of organization;
3. Name(s) and title(s) of the principal author(s) of this application;
4. Title of proposed program; country and sector(s) being proposed; total dollar amount of funds requested for the period of performance;
5. Identify applying organization as a US PVO or a LNGO;
6. Point of contact, hereafter referred to as the “agent,” with the authority to negotiate and sign on behalf of the applicant. The agent’s name (both typed and his/her signature), title or position in the organization, email and postal addresses, telephone and fax numbers should be included;
7. Names of other organizations to which Applicant is/has submitted the application and/or which are funding the proposed activities. If any partner organizations are included in the application, they should be listed separately and indicated as subordinate to the principal organization; and
8. A summary table that lists the primary applicant and all partner organizations as well as the percentage of overall program activities of each partner.

2. Executive Summary (1 page)

The executive summary must summarize the key elements of the applicant’s technical

application, including, but not limited to, the technical approach (see next section), and any cost-sharing and/or public-private partnerships, if applicable.

3. Technical Approach (maximum 7 pages)

Please use clear logic describing the links between the situation analysis, the program hypothesis, the objectives, methods and anticipated results.

1. Situation analysis: Describe the specific development context; include relevant background information and an analysis of the problem, opportunity or challenge in the proposed sector(s);
2. Location: Describe the proposed program area or region (provide a map with scale in an attachment). List the process and rationale used to select these areas and describe any experience the Applicant and/or any partner(s) have had working in this area;
3. Program hypothesis and theory of change: Clearly explain the theory or theories of change that underlie the approach of the proposed program. The program hypothesis should describe the link between the proposed activities and their intended impact on the problem, opportunity or challenge identified in the situation analysis; and justification for why the applicant is the appropriate entity for meeting the challenge effectively and in the long-term, and/or generating catalytic change leading to scalable development impact;
4. Program goal(s) and objectives: List the goal(s) of the proposed program. Include clear, measurable program objectives that, if achieved, will contribute to achieving the stated goal. Include an explanation of why the stated objectives represent the most appropriate response to the problem, opportunity or challenge presented in the context analysis. Describe how the proposed program will contribute to USAID Mission objectives and priorities. Where appropriate, include linkages to the USAID priorities and initiatives listed in Section C of this RFA.
5. Methods: Describe the methods/activities the program will utilize to test the program hypothesis and achieve the stated objectives. Include a brief description of the human, financial, technical and material resources that will be applied to achieve the objectives including the roles and responsibilities of the applicant and any partners. If partnerships are proposed, discuss how these will be managed. Discuss alternative methods considered and reasons that the selected approach was chosen over alternative approaches.
6. Outcomes/Results: State the anticipated changes that should result from the proposed methods/activities and how they will contribute to expected program outcomes. Include a description of the numbers and types of individuals, and local NGOs expected to benefit from the program.
7. Sustainability: Describe the need for sustainability and strategies that will be employed to sustain the activities beyond USAID funding for these activities. If applicable, describe the potential for scaling up to achieve broad-based impact where possible and appropriate. Describe why the Applicant and proposed project is best suited to achieve sustainability.
8. Risk Analysis: Describe risks associated with the proposed methods that are likely

to affect program outcomes. Include factors that are both within and outside of Applicant's control. List strategies the Applicant will utilize to reduce risk and ensure proposed results are achieved;

4. Innovation (1 page)

Describe any innovative aspects of the proposed program including:

1. Approach(es) to the development problem, challenge or opportunity with potential for catalytic positive change. Please include a comparison of benefits and risks of chosen approach(es) to other approach(es) that produce the same outcome or meet the same objective;
2. Approaches not previously utilized by the Applicant and/or not previously utilized in the proposed region or country.

5. Project Management Approach and Implementation Plans (3 pages)

The project management approach should include the following components:

1. Applicant's plan for management of the program including a description of any management systems in place, respective roles, responsibilities and accountability of the applicant and its partners, including roles and responsibilities of key staff;
2. General description of the implementation plan and the following two implementation plans:
 - a) Proposed first-year implementation plan should be presented in matrix format which includes proposed activities and when they will take place for the time frame indicated (see #6: Planning Matrix). Identify partners for activities where appropriate. First-year work plan, inputs, outputs, and outcomes should be realistic and achievable within proposed budget and timeframe and reflect a grasp of the necessary steps to ensure efficient, effective execution of program activities.
 - b) Proposed life of project implementation plan that outlines a timeline for phasing of interventions. This plan should contain inputs and outputs and should present outcomes per year that are realistic and achievable within the proposed budget and timeframe and reflect a grasp of necessary steps to ensure rapid, effective execution of program activities. Provide indicators that are clear and measurable and identify partners' roles where appropriate.

6. Planning Matrix (2 pages)

Using a tabular format, summarize main activities, objectives, indicators and measurement methods. Succinctly explain how a particular set of activities will achieve a specific objective and how these results will be measured. Each table should contain the following:

1. A statement of the proposed program goal and the link to the Mission's development objective(s) or challenge, as identified in the country-specific guidance;
2. Main results-oriented objectives that the program will accomplish;
3. Primary activities intended to achieve results for each stated objective;
4. Examples of key indicators that will measure the results of each objective; and,
5. Methods that will be used to measure key indicators.

7. Monitoring and Evaluation plan: (2 pages)

Provide a description of Applicant's plan to monitor and evaluate the program and why the plan is appropriate. Include the following components:

1. A list of the types of baseline data that must be collected to demonstrate impact of the program;
2. The process by which the indicators will be developed and how monitoring processes and results will be used to inform project management decisions;
3. The ways in which impact will be evaluated at the end of the activity including how impact may or may not be attributed to the activity;
4. The measurement and data management methods used to collect and analyze indicator data (data sources, frequency of data collection, and methods for collecting and reporting data); and,
5. A plan for collecting and responding to the concerns of program beneficiaries/constituents and other stakeholders.

8. Institutional Capabilities/Past Performance: (2 pages)

Applicants shall be evaluated based on performance of relevant current programs or those completed during the past three years (regardless of the source of funding).

For this section, include:

1. A description of the applicant's institutional capacity to manage (technically, administratively and financially) the proposed program in a technically and culturally appropriate fashion;
2. A list of key staff and their qualifications with respect to the project goals and objectives as well as language capabilities where appropriate. Qualifications (resumes, CVs) may be included as attachments. If attached, include reference here.
3. Concise description of Applicant's, as well as prospective or existing partners' previous work and experience relative to the activities and region or country being proposed during the past three years; For each relevant project/award, include a brief statement including:
 - a) The relevance of the work to the program being proposed;
 - b) Results achieved;
 - c) Duration, size/scale, and value;
 - d) List of references and information such as location, award numbers if available, brief description of work performed and contact information with current email

addresses and telephone numbers;

e) A description of past project sustainability results (or plans, if current work) to maintain impact (or if applicable, to continue work) beyond donor support.

9. Organizational Assessment and Institutional Capacity (2 pages)

Applicants are required to submit a brief plan for how they will develop their own capacity. While it is not required, USAID recommends that applicants conduct an organizational assessment to aid in the development of this plan. (The results of the assessment should be considered as baseline data for purposes of planning and tracking improvements in institutional capacities.) Please keep in mind that while a thorough organizational assessment requires time and energy, if it is done in an open, participatory fashion that allows for honest input by individuals across the organization as well as from key stakeholders outside the organization, the resulting capacity development plan will be more accurate and have greater staff, board, management and community buy-in than if the assessment is completed by a single individual or a group that is not representative of the organization.

If an Applicant is selected for an award, organizational assessments, capacity development objectives and plans may be reviewed again by the Mission, and if applicable, by the selected capacity development provider(s) in order to make any necessary revisions, and to identify other areas that may need development.

Appendix 3 lists several organizational assessment tools and provides additional information and clarification on this requirement. It may be helpful to also see the USAID *Organizational Capacity Assessment (OCA)* tool located at <http://www.pactworld.org/galleries/resource-center/Intro%20to%20OD%20First%20Edition.pdf>, the *Recent Practices in Monitoring and Evaluation – TIPS* located at http://pdf.usaid.gov/pdf_docs/pnacg612.pdf). While it is understood that a well-developed plan may exceed two pages, for purposes of the full application, please include the following components in two pages or less:

1. A list of clear capacity development objectives, why they were chosen and how they will be pursued during the project period. These objectives can include activities to improve both the organizational and technical capacity of the Applicant;
2. A description of how Applicant selected these capacity development objectives. Include a description of the process and the positions of those involved (i.e. executive director, board member, project coordinator, financial analyst, constituent etc.), and the tool, framework or process used;
3. List of proposed or potential service providers from the local or regional capacity development market who can provide the services the Applicant requires to achieve its capacity development objectives. Available costs estimates/price quotes from proposed service providers should be included in the cost application following this section. Local capacity

development service providers may include individual consultants with relevant expertise, as well a range of organizations including but not limited to Civil Society Organizations, NGOs, private firms, universities, and government institutes.

10. Gender Integration (2 pages)

Describe specific approaches and methodologies that will be used in a substantive and integrated manner to address gender constraints and how the Applicant will capitalize on opportunities provided by the program to have a positive impact on gender integration. The application should consider the proposed activities' impact on men and women. Applicants should provide a rationale if gender is not an issue for the proposed program. For more guidance on gender analysis and integration, please see the following references:

- ADS 201.3.9.3 "Gender Considerations" (<http://www.usaid.gov/policy/ads/200/201.pdf>)
- ADS 201.3.11.6 "Project/Activity Planning Step 2: Conduct Project-level Analysis as Needed" (<http://www.usaid.gov/policy/ads/200/201.pdf>)

11. Cost Share Component (2 pages) – Required but not scored

It is required that a minimum of 10% for LNGOs or 15% for US PVOs of the proposed budget will be generated from non-U.S. Government funding or in-kind support for the proposed program. The match may be a combination of cash and in-kind. The Applicant must demonstrate ability to raise the match proposed. Actual and/or expected sources and amounts of the cost-share amount from all sources (other donors, community members, businesses, etc.) must be stipulated. In-kind contributions based on 22 CFR may be applied above and beyond the 15% match.

Funds received by the Applicant directly from the U.S. Government or USAID intermediaries or foreign governments are not allowable elements of the match but should be identified as sources in the overall budget if they are critical to the program.

Applications should identify all critical sources of support for the program, including private and public cash receipts recorded in the organization's accounts and in-kind contributions of goods and services and other contributions not recorded in the organization's accounts but directly supporting its grant program activities.

Criteria for acceptance and allowability for the non-U.S. federal contributions are set forth in 22 CFR 226. (Copies of 22 CFR 226 may be obtained through the Government Printing Office, Washington, D.C. 20401 or from Internet address: <http://www.usaid.gov/policy/ads/cfr.html#22>).

12. Environmental Procedures (1 page)

Respondents to this RFA should include as part of their full technical application a clear statement of their approach, experience, and/or expertise for achieving environmental compliance, protection and management over life of the proposed program.

13. Attachments

Complete and attach all of the certifications found at:

<http://www.usaid.gov/policy/ads/300/303sad.pdf>.

D. FULL APPLICATION - COST APPLICATION/BUDGET INSTRUCTIONS

The cost application must detail all direct costs associated with the implementation and completion of activities, as well as any indirect costs and program costs such as those related to any sub-agreements and/or contracts. These amounts are subject to revision depending on availability of funds. Successful applicants may be asked to scale back portions of their programs to accommodate funding constraints.

1. The cost application must be completely separate from the Applicant's technical application and submitted by using SF-424 and SF-424A "Application for Federal Assistance" forms. The forms (two Microsoft Excel worksheets in one workbook) can be accessed via this hyperlink: **SF424**. If you are applying as a LNGO, please use this LNGO SF424 hyperlink, as we have prepared them for use by non-U.S. organizations.
2. The Applicant must provide by email an electronic copy of the SF424 budget spreadsheets in Microsoft Excel, with calculations shown in the spreadsheet, and an electronic version of a budget narrative that discusses the costs for each budget line item (preferably in Microsoft Word).
3. The cost application (budgets) must be for the entire period of the proposed program. If the Applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement or grant, it must clearly identify them.
4. If the Applicant is a consortium, the cost application must include documents that reflect the legal relationship among the parties. The document(s) should include a full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement or grant, identity of the applicant that will have accounting responsibility, how the applicant proposes to allocate effort under any cooperative agreement or grant, and the express agreement of the principals of the Applicant organization to be held jointly and severally liable for the acts of omissions of the other.
5. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.

6. The cost application budget narrative should describe headquarters and field procedures for program budgeting, financial reporting and the management information procedure(s) to ensure accountability for the use of U.S. Government funds.
7. Applicants must provide detailed budget narrative for all costs, and explain how they derived costs, consistent with the following guidance on required information:
 - a) The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
 - b) The breakdown of all costs according to each partner organization involved in the program;
 - c) The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
 - d) The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement or grant;
 - e) Potential contributions of non-USG or private commercial donors to the cooperative agreement or grant;
 - f) Procurement plan for commodities if needed (although not encouraged); and
 - g) Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement or grant.
 - h) A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government, applicants that do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) shall also submit the following information:
 - Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 - Projected budget, cash flow and organizational chart; and
 - A copy of the organization's accounting manual.
8. Applicants must provide the following cost element details:
 - a) Salary and Wages – Applicants must propose direct salaries and wages in accordance with their personnel policies;
 - b) Fringe Benefits – These benefits are non-wage compensation that an organization can provide to its employees in addition to their salaries. If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance,

workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;

- c) Travel and Transportation – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed program description, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per-diem calculations on current, published U.S. Government per diem rates for the localities concerned. Applicants should include in their budgets travel for up to three people to a five-day and a three-day workshop to be held in their countries' capital.
- d) Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc.;
- e) Indirect Costs – These are costs that are incurred by an organization overall but that cannot be attributed directly to a specific project it is working on. The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).
- f) Alliance Opportunities: Alliance Opportunities: USAID encourages the creation of alliances where appropriate. An "alliance," in this sense, is a formal agreement between two or more parties created to jointly define and address a development problem. Alliance partners combine resources, risks and rewards in pursuit of common objectives. Alliance partners make financial and/or in-kind contributions to increase the impact and sustainability of development efforts. Their support may take many forms. Mechanisms for collaboration include parallel financing (with common objectives, clear understanding of roles and separate funding tracks) or pooled resources (with agreed upon and legally binding governance structures and common funding tracks).

- 9. Applicants that have never received a grant, cooperative agreement, or contract from the U.S. Government are required to submit a copy of their accounting and personnel policy manuals. If a copy has already been submitted to the U.S. Government, the applicant must advise which Federal Office has a copy, and provide a point of contact with contact information (e.g., phone number). US PVO applicants may file a self-certificate of compliance with USAID standards. Information on self-certification can be found in Attachment 1 of this RFA.
- 10. Applicants must submit evidence of responsibility in order for the Agreement Officer to make a determination of responsibility. The information submitted must be provided in the third-person and substantiate that the Applicant:

- Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant - nongovernmental and governmental;
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
- Has a satisfactory record of integrity and business ethics; and
- Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

The Applicant is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Applicant/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub awards issued under this Agreement that results from this RFA.

Required certifications, assurances, and other statements. These forms include:

- Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs
- Certification Regarding Lobbying
- Prohibition on Assistance to Drug Traffickers for Covered Countries
- Certification on Terrorist Financing
- Certification of Recipient
- Key Individual and Participant Certifications Narcotics Offense and Drug Trafficking
- Certification Of Compliance With The Standard Provisions Entitled "Condoms" And "Prohibition On The Promotion Or Advocacy Of The Legalization Or Practice Of Prostitution Or Sex Trafficking
- Survey On Ensuring Equal Opportunity For Applicants
- Applicant Information
- Procurement Information

Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy, and provide a point of contact with contact information (e.g., phone number). US PVO applicants may file a self-certificate of compliance with USAID standards. Information on self-certification can be found in Appendix 4 of this RFA.

SECTION V – APPLICATION REVIEW INFORMATION

A. Concept Paper Evaluation Criteria

Applicants should note that these criteria (a) serve as the standard against which all Concept Papers will be evaluated, and (b) serve to identify the significant matters that should be addressed in all Concept Papers.

Concept papers will undergo preliminary review by USAID procurement and technical staffs for completeness and responsiveness to the RFA.

Concept papers that are submitted late will not be considered for award unless it is the only application received or the Agreement Officer determines it is in the U.S. Government's interest. Incomplete submissions risk not being considered in the review process.

To facilitate review of concept papers, concept papers should organize the narrative sections of their papers in the same order as the selection criteria.

Concept papers will be reviewed using the following Evaluation Criteria (evaluation criteria for concept papers are of equal importance):

1. Extent to which Applicant demonstrates understanding of the challenge/opportunity, the target population, country and sector(s);
2. Extent to which Applicant establishes that it is the right agent for delivery of effective and scalable development impact;
3. Degree to which goal(s), objectives, methods and anticipated results are logically connected and represent a reasonable approach to the development challenge/opportunity; documented past performance consistent with type and scope of proposed activities; degree to which concept paper represents an innovative approach with an acceptable level of risk; degree to which project design incorporates gender concerns based on an analysis of how the different impacts on women and men that the project may have;
4. Degree to which implementation and results of the proposed activities will support and enhance the USAID Mission and Agency priorities;
5. Feasibility of the proposed budget, timeline and work plan and proposed staff appear sufficient for the proposed project;
6. Need for and sustainability of proposed activities or outcomes from activities beyond award period;
7. Specification of clear capacity building needs and objectives and activities that will lead to achievement of those objectives;
8. Demonstrated creativity, logic and strategy in proposed partnerships;
9. Presence of a cost share component (required) and extent to which other partners would be involved;
10. Clarity and logical coherence of concept paper.

B. Full APPLICATION Evaluation Criteria

The following full application Evaluation Criteria content may be edited by the participating Mission Agreement Officer at his/her discretion.

Applicants should note that these criteria (a) serve as the standard against which all applications will be evaluated, and (b) serve to identify the significant matters that should be addressed in all applications.

Applications will undergo preliminary review by USAID procurement and technical staffs for completeness and responsiveness to the RFA.

Applications that are submitted late will not be considered for award unless it is the only application received or the Agreement Officer determines it is in the Government's interest. Incomplete submissions risk not being considered in the review process.

To facilitate review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria. The project will integrate gender issues or a rationale for not addressing gender in the project or activity, in accordance with ADS 201.3.11.6.

Numerical weighting indicates the relative order of importance of the technical criteria, to guide applicants in determining which areas require emphasis in the preparation of applications. The applicant will be selected on the basis of its written application, its past experience working in this field and a demonstrated capacity to manage human and financial resources.

Applications will be judged on the ability of the applicant to achieve the expected results in a reasonable time frame at a reasonable cost. The application will be reviewed and rated on the following criteria, with a total possible score of 100 points.

A. Evaluation Criteria (Total: 100 points)

1. Technical Approach (36 points)

Situation Analysis

- 1.1 demonstration of understanding of development problem, opportunity, or challenge in the proposed sector(s) and degree to which the Applicant demonstrates that it is the right actor for carrying out the activities and has the ability to facilitate change that can be sustained after USAID funds are expended.

Program Design

- 1.2 Demonstration of the relevance of program objectives to USAID Mission sector priorities (and, where appropriate, linkage to Agency priorities); rational for selection of proposed program location(s); and adequate consideration of risks associated with the proposed approach both within and outside of the Applicant's

control and the degree to which strategies proposed to reduce or mitigate risk will be effective. Please also provide references to support assertions of fact made in the application.

Activities & Results

1.3 Degree to which proposed: activities will logically and feasibly lead to outcomes/results that address the needs identified in the context analysis; approaches/methods chosen are appropriate and are preferable to any alternative methods; approaches/methods chosen are innovative, non-traditional or catalytic and could lead to broad-based impact and/or large-scale successes in addressing the development problem, opportunity, or challenge; outcomes are measurable, clearly stated, and significant (as contrasted with vague, subjectively measurable and trivial). Please describe the resources necessary for implementing the described methods including an adequate plan for engaging any proposed partners.

2. Innovation (9 points)

Degree to which application includes innovative approach(es) for the Applicant, region/country, and/or technical sector and discusses the benefit(s) and risk(s) of chosen approach(es) relative to other approach(es) that produce the same outcome or meet the same objective;;

3. Project Management Approach and Implementation Plans (20 points)

Presence of a logical, sufficient and clear plan for managing the proposed program including a clear, complete account for roles and responsibilities of all partners and key staff and an explanation of what management systems will be put in place to accomplish proposed objectives (understanding that Applicants may not have all necessary systems in place and that the development of these systems may be included in the Applicant's capacity development plan); and the degree to which proposed first year implementation plan includes the required components and outlines an achievable plan given the program objectives and budget and timeframe, and life of project implementation plan includes required components and outlines an achievable plan given the program objectives, budget and timeframe.

4. Monitoring and Evaluation Plan (10 points)

Degree to which Applicant's monitoring and evaluation plan clearly demonstrates how progress and impact will be tracked, measured and reported with appropriate milestones and expected accomplishments, including measurable output and performance indicators. Inclusion of data collection and management (including relevant baseline data, information on how indicators will be developed). Discussion of how the plan will be used for adaptive management. Inclusion of a clear plan to maintain open dialogue with

beneficiaries/constituents and other stakeholders, to respond to issues that arise during implementation.

5. Institutional Capabilities/Past Performance (8 points)

As applicable, demonstrate institutional capacity to manage (technically, administratively and financially) the proposed program in the proposed region in a technically and culturally appropriate fashion; appropriate experience of key staff relative to project goals and objectives as well as language capabilities; extent to which Applicant included references of past performance; Applicant's ability to successfully compete the proposed program; and extent to which attached evaluations (if any) indicate Applicant can successfully complete the proposed program. Degree to which Applicant describes its institutional capacity challenges and needs for managing the project, and outlines a clear plan for strengthening these capacities in the next section – Organizational Assessment and Institutional Capacity.

6. Organizational Assessment and Institutional Capacity (10 points)

Include a clear, logical institutional capacity development plan that identifies specific organizational development needs, presents and prioritizes objectives that address those needs, and presents key actions to meet each objective. The plan should also reflect a commitment to organizational improvement with reasonable targets for the period of performance (life of project); demonstrate the rigor of the process by which the capacity development plan was created (including titles of staff, management and board persons and other stakeholders, if any, involved); discuss the tool/framework and methods utilized to assess the Applicant's capacity and create capacity development objectives; and list possible local and/or regional capacity development service providers that can help the Applicant meet stated capacity development objectives.

If Applicant plans to serve as a Local Intermediary Organization supporting small LNGOs, include a realistic plan for assessing organizational needs of LNGOs and delivery of organizational capacity development support through local and/or regional capacity development service providers.

Note: USAID Missions retain the right to centrally manage funds for capacity development if deemed appropriate and/or necessary. Applicant's that submit well-organized, thoughtful capacity development plans including the components requested above may increase the likelihood that the relevant Mission will approve their plan and allow them to manage their own capacity development funds.

7. Gender Integration (7 points)

Extent to which Applicant describes how gender considerations are addressed in a

substantive and integrated manner, including specific and effective approaches for addressing gender constraints and capitalizing on opportunities – or if applicable, a discussion of why gender is not a consideration of the proposed program; and degree to which Applicant considers the impact of the proposed program on both men and women.

8. Effectiveness, realism and reasonableness of total estimated cost

Although the cost application will not be scored, a cost realism analysis will be conducted. The cost realism analysis is intended to meet the following three goals:

1. Verify the Applicant understands of the requirements and regulations;
2. Assess the degree to which the cost application reflects the approaches in the technical application; and
3. Assess the degree to which the cost included in the cost application accurately represents the work effort included in the technical application.

9. Cost Share Evaluation – Required but bears no points

As stated in Section III, cost share match equivalent to or greater than 10% percent for LNGOs and 15 % percent for U.S PVOs of the total project is required to support the activity. Meeting or exceeding the cost share will be favorably considered as contributing to cost effectiveness and may be considered in the Government's determination if application represents the greatest benefit to USAID.

10. Branding Strategy and Marking Plan – Required but bears no points

- a. Well defined Branding Strategy that describes how the program, project, or activity is named and positioned; how it is promoted and communicated to beneficiaries and cooperating country citizens; and identifies all donors and explains how they will be acknowledged.
- b. Well defined Marking Plan detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity.

C. REVIEW AND SELECTION PROCESS

All applications which meet the eligibility and program requirements, and conform to the application preparation and submission instructions, will be reviewed and scored by a panel of USAID reviewers strictly in accordance with the evaluation criteria set forth in this section.

After an initial review of applications, USAID may conduct written and/or oral

discussions with those applicants whose applications remain under consideration for award. The decision to conduct such discussions should not be considered a final decision about which organizations will receive an award, but rather would be part of the evaluation process.

D. AWARD CONSIDERATIONS

USAID missions will evaluate applications and make an award based on the application which would best achieve the expected outcomes of the program and offers the greatest overall benefit in response to the RFA.

Award will be made to the applicant whose application offers the best value to the U.S. Government. Best value is defined as the expected outcome that, in the U.S. Government's estimation, provides the greatest overall benefit in response to the requirement and available funds.

SECTION VI – AWARD ADMINISTRATION INFORMATION

Note: This section is intended to provide guidance for Applicants who are requested to submit full applications and are selected for funding.

1. AWARD NOTIFICATION

Following the completion of the technical and cost review of all applications submitted in response to this RFA, USAID intends to make award to the applicant who represents the best value for the U.S. Government. The successful applicant will receive written notification in the form of the award document which will be reviewed by all parties and signed by the Agreement Officer. USAID does not intend to provide formal debriefings for unsuccessful applicants but retains the right to consider informal briefings for said applicants following award.

2. DEVIATIONS FROM STANDARD PROVISIONS

Currently USAID does not anticipate any deviations from the mandatory or applicable standard provisions for US Nongovernmental organizations (see ADS 303).

3. REPORTING

3.1 Financial Reporting

(1) The Recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). The Recipient must submit a copy of the FFR at the same time to the Agreement Officer's Technical Representative (AOTR).

(2) The recipient must submit the original and two copies off all final financial reports to USAID/Washington, M/CFO/CMP LOC Unit, the Agreement Officer, and the AOR. The recipient must submit an electronic version of the final Federal Financial Form (SF-425) to U.S. Department of Health and Human Services in accordance with paragraph (1) above.

3.2 Annual Implementation Plan

The Recipient(s) shall submit an Annual Implementation or Work Plan within four weeks from the date of the award. The Plan will include major activities that will be undertaken, rationale behind these activities, anticipated results of these efforts and how they will be measured, any short term technical assistance that will be required to complete the activity, and a timeframe for when activities will commence and end. USAID will review the Work Plan and provide comments within one week of receipt. The Recipient shall incorporate these comments and provide a final Annual Implementation Plan within one week of receiving USAID's comments. Thus, a final Annual Implementation Plan will be in place within six weeks of the beginning of the program. Subsequent Annual Implementation Plans will be submitted in a similar fashion. If significant changes are made to the Implementation Plan by the recipient, the amended plan will also require

USAID's approval.

3.3 Monitoring and Evaluation Plan

The recipient (s) shall submit a final M/E Plan with the work plan. The M/E Plan will be approved at the same time and with a similar approval process as the Work Plan. The M/E Plan shall track indicators proposed by the implementing partner(s). The M&E plan shall be updated and revised as appropriate on an annual basis and in collaboration with USAID.

The monitoring and evaluation plan will include specific indicators for measuring progress for the activities, and specify how data will be collected and analyzed for each of the indicators. Measurement will focus on both output and outcome data, showing the specific impacts and results of program activities. The monitoring and evaluation plan will also highlight how the impact and effectiveness of program approaches and methodologies employed, and contribute toward enhancing understanding of best practices and in the sector.

Uniform gender indicators and reporting sex-disaggregated data for indicators and targets will be required.

3.4 Quarterly Progress Reports

The Recipient shall submit 1 copy of a quarterly performance report to the AOR within 30 days from the end of the quarter. Electronic submission is acceptable.

These reports shall include a descriptive analysis of the activities conducted during the life of the project; a quantitative and/or qualitative description of actual achievements versus planned activities for the life of the project, in both narrative and in data performance table formats; and targets for the next reporting period. These reports shall collectively discuss the work of the program, highlighting:

- Description of the progress made during the previous quarter towards achieving the results, status of activities, a comparison of actual vs. planned accomplishments as set forth in the work plan, significant results to date; and a discussion of obstacles, constraints and opportunities affecting the program during the reporting period along with plans to address these issues during the next reporting period.
- Reports should also include, as an addendum, success stories and digital photographs that USAID would be able to share with various stakeholders.

The Annual Implementation Plan and Quarterly Progress Reports will form the basis for an annual management review by USAID and program staff to review program directions, achievement of program objectives, and major management and implementation issues.

3.5 End of Program Report

The Recipient(s) shall submit a final report of the program within 90 calendar days after the expiration or termination of the award. The final report contents shall meet requirements as set in 22 CFR 226.51, and include, but not be limited to: (1) executive

summary; (2) brief description of overall project activities, results and lessons learned as well as recommendations for future development efforts; (3) success at accomplishing intermediate results, including a comparison of actual vs. planned accomplishments (as set forth in the work plans) and an explanation of any shortfalls if they occurred; (4) cumulative totals for numerical targets. The Recipient shall submit the original and one copy to the AOR, and the Agreement Officer, and one copy to USAID Development Experience Clearinghouse. Information on electronic submission to the DEC (preferred) can be found at the following address:
<http://www.dec.org/submit.cfm/> Hard copy submissions may be sent via regular mail to: Development Experience Clearinghouse, M/CIO/KM, RRB M.01, U.S. Agency for International Development, Washington, DC 20523

The Final Project Report should include an addendum of success stories and digital photographs that USAID can share with various shareholders.

3.6 Evaluations

DGP recipients will be required to have Mid-term (as appropriate based on period of performance) and final independent evaluations. These evaluations have two primary purposes: accountability to stakeholders, and learning to improve project performance and institutional capacities of the grantee.

Successful applicants will work with their Mission to jointly plan a strategy in which both an independent mid-term and final evaluation are included. Missions will procure and oversee the final independent evaluation. Grantees will procure and oversee the mid-term independent evaluation, with guidance provided by the Mission. Applicants should include the cost of the mid-term independent evaluation in their budget estimate. Please note that the total budget, including funds for the mid-term independent evaluation, should not exceed the maximum of \$2 million.

During the life of an award, the grantee will be responsible for submission of the following reports to the AOR:

Report	Due
1. Annual Work Plan	As requested by AOR for first year and each subsequent year.
2. Semi-Annual Reports	Within one month of the end of each six-month period.
3. Quarterly financial reports (SF269, 269A and/or 272)	Not later than 45 days after the end of each FY quarter.
4. Mid-term evaluation	As mutually agreed.
5. Final evaluation	Not later than one year after the completion of the award.
6. Assessments, evaluations, manuals, training plans and materials, etc.	As mutually agreed.
7. Accrual Reports	Not later than ten days before the end of each financial quarter.

8. Reports of achievements against standard and/or customized indicators	As requested by AOR and consistent with USAID reporting requirements.
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4. USAID BRANDING STRATEGY AND MARKING PLAN

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub award, must be marked appropriately overseas with the USAID Identity. USAID will require the submission of a Branding Strategy and a Marking Plan by the apparent successful applicant under this RFA. For more information, see: <http://www.usaid.gov/branding/assistance.html> .

SECTION VII – AGENCY CONTACTS

The Agreement Officer for this Award is:

Ms. Portia Persley

Agreement Officer

USAID/Washington

1300 Pennsylvania Avenue NW, SA-44, Rom 504-A

Washington DC 20523-7100

Tel.: (202) 567-5083

ppersley@usaid.gov

**Questions regarding this RFA should be directed to the following email address:
QA-DGP@usaid.gov.**

The Agreement Officer's Representative (AOR) for this award will be designated by the Agreement Officer at the time of award.

SECTION VIII– OTHER INFORMATION

1. APPLICATIONS FUNDED

USAID reserves the right to fund any or none of the applications submitted in response to this RFA.

2. CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that

term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website:

<http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf> or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website:

<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>) or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II – KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFA's must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

See Survey on Ensuring Equal Opportunity for Applicants at the below internet link:
<http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf>

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
<hr/>			
<hr/>			
<hr/>			

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the application.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION

(Generic) _____

QUANTITY _____

ESTIMATED

UNIT COST _____

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	_____
QUANTITY	_____
ESTIMATED UNIT COST	_____
GOODS COMPONENTS	_____
PROBABLE SOURCE	_____
GOODS COMPONENTS	_____
PROBABLE ORIGIN	_____

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION (Generic)	_____
QUANTITY	_____
ESTIMATED UNIT COST	_____
PROBABLE SOURCE	_____
PROBABLE ORIGIN	_____
INTENDED USE	_____

(f) Supplier Nationality. If the recipient plans to purchase any goods or services

from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION

(Generic)

QUANTITY

ESTIMATED

UNIT COST

PROBABLE SUPPLIER

(Non-US Only)

NATIONALITY

RATIONALE

FOR NON-US

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION

(Generic)

QUANTITY

ESTIMATED

UNIT COST

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide past performance information requested in the RFA.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

SECTION IX– Annexes and Appendices

ANNEXES

1. MANDATORY STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL RECIPIENTS

Please refer to the following website to access the above mentioned Provisions:
<http://www.usaid.gov/policy/ads/300/303maa.pdf>

2. STANDARD FORMS 424, 424A AND 424B, APPLICATION FOR FEDERAL ASSISTANCE, BUDGET INFORMATION-NON-CONSTRUCTION PROGRAMS AND ASSURANCES-NON-CONSTRUCTION PROGRAMS

The SF 424, SF 424A and SF 424B documents are not included but can be found at the following website:
<http://www.grants.gov>

3. MARKING UNDER ASSISTANCE-BRANDING STRATEGY – ASSISTANCE (December 2005)

(a) Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID

Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer.

The Agreement Officer will request that the Apparently Successful Applicants submit a

Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new landmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients

of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) **Submission.** The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) **Submission Requirements**

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(1) Positioning

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].* Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers.

What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: For example: "Be tested for HIV-AIDS" or "Have your child inoculated. "Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional cosponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

4. MARKING UNDER ASSISTANCE -MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer.

The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the

USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or subawards.

A **Presumptive Exception** exempts the applicant from the general marking requirements for a particular USAID-funded public communication, commodity, program material or other deliverable, or a category of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

(b) **Submission.** The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will

negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) **Submission Requirements.** The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

(ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the recipient will mark with the USAID Identity,

(ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical application and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) Award Criteria: The Agreement Officer will review the Marking Plan for

adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

5. MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or subagreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the nonpresence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not

limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new landmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."

(10) Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of

USAID or the United States Government.”

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 45 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

- (iv) USAID marking requirements would impair the functionality of an item;
- (v) USAID marking requirements would incur substantial costs or be impractical;
- (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
- (vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements of this provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers "flow down" to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver.

determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

APPENDIX 1: Country Specific Guidance

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Country: Angola

Language(s) for Concept Papers: Portuguese, English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to dmenezes@usaid.gov and DGP@usaid.gov .

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$1.5m for Cooperative Agreement or FOG for Water, Supply and Sanitation, Basic Education, Micro-Enterprise, and Agriculture. Please note that for the Health sector, the maximum size of award is \$600,000.

Life of the award: 3 to 5 years for Cooperative Agreement and up to 3 years for FOG.

Sector(s) of Focus or Development problem(s) to be addressed:

Water Supply and Sanitation

USAID/Angola has been supporting Angola's local government and civil society organizations (CSOs) in providing access to adequate quantities of quality water and improved sanitation services at an acceptable cost and on a sustainable basis. USAID/Angola would like to build upon current activities and consider proposals that meet its objective of complementing the Government of Angola's "Water for All" program.

Target geographic area(s): The Mission will consider proposals for any region of Angola.

Illustrative Activities:

The following list of activities are illustrative - innovative ideas are welcome.

- 1) Increase sustainable access to and use of safe water and sanitation.
- 2) Promote good hygiene.
- 3) Improve the governance and management of water systems through participatory planning with community groups.
- 4) Improve the quality of water.
- 5) Expansion or rehabilitation of water supply infrastructures.

Basic Education

USAID/Angola is supporting an education program that is aligned with the Government of Angola's National Strategy for Education (2001 - 2015) by promoting the improvement of the access to quality basic education by underserved population of Angola as well as demonstrating linkage to workforce development which helps expand the options available for youth education. The program also aims to address the three overarching goals identified by USAID Education Strategy (2011 -2015) namely: 1) improved reading skills for 100 million children in primary grades by 2015; 2) improved ability of tertiary and workforce development programs to generate workforce skills relevant to a country's development goal; and 3) increased equitable access to education in crisis and conflict environments for 15 million learners by 2015.

Target geographic area(s): The Mission will consider proposals for any region of Angola.

Illustrative Activities

The following list of activities is only illustrative but not limited to - innovative ideas are welcome.

- 1) Increase the availability and use of reading materials.
- 2) Develop and implement school-based reading improvements programs.
- 3) Establish school management committees to include reading reports in school development plans.
- 4) Training of teachers in new learning techniques.
- 5) Establish partnership with different stakeholders to promote or strengthen employability skills relevant to market needs.
- 6) Improve the access to education of out-of-school youth.
- 7) Promote the development of effective vocational and technical programs.
- 8) Provide formal and non-formal literacy and numeracy education.

Microenterprise

The highly urbanized nature of Angola, magnifies the importance of micro, small and medium sizes enterprises (MSME) as a vehicle for low-income people to escape poverty. USAID/Angola's approach is for the program to integrate MSMEs into growing urban and peri-urban value chains by improving their business acumen to include management and financial literacy, expanding their access to business and financial services, and addressing their needs for a conducive enabling environment. At the same time it should incorporate an active

gender component that addresses limited access to productive resources and business development services and constraints on time and mobility.

Target geographic area(s): The Mission will consider proposals for any region of Angola.

Illustrative Activities

The following list of activities is only illustrative - innovative ideas are welcome.

- 1) Provide technical assistance that identifies constraints to rural and urban microenterprise development.
- 2) Provide assistance and mentoring services to help establish viable enterprises.
- 3) Support formal or informal linkages among microenterprises to add value.
- 4) Promote the establishment of business development centers.
- 5) Identify traditional and non-traditional business sectors for women entrepreneurs.
- 6) Build the skills and attitudes required for entrepreneurial success.
- 7) Provide a range of business development services.
- 8) Development of a customer orientation.
- 9) Develop curricula for adult education in entrepreneurship for vocational schools and in low literacy environments.

Agriculture

This program aims to strengthen the Agri-business Services Providers (ASP-SP) and provide technical assistance to cooperatives with microcredit programs in Angola, including DCA and Government of Angola's programs. This support to ASP-SP aims to increase the number of economically active individuals and enterprises that have access to credit. Given the high number of women operating in the sector, a significant niche of beneficiaries would be women.

Target geographic area(s): The Mission will consider proposals for any region of Angola.

Illustrative Activities

- 1) Provision of technical assistance to cooperatives such as medium scale farmers in business registration, preparation of business plans.
- 2) Facilitation of market linkages within the agricultural value chain, such as linkages between cooperatives and medium scale farmers and equipment providers, agro-processors and marketers.
- 3) Assess and monitor the loans of Cooperatives and medium scale farmers.

Health Promotion and HIV/AIDS Prevention

USAID/Angola is working with the Government of the Republic of Angola (GRA) to achieve significant health improvements and foster sustainable, effective, efficient country-led public health programs. To this end, USAID/Angola supports the development of an integrated, comprehensive and sustainable health system capable of providing quality health promotion and disease prevention to all Angolans thereby capitalizing on positive trends in the Angolan health sector including: a hunger for demonstrable results by the Ministry of Health (MOH), improvements in infrastructure, a commitment to decentralization and integration of service delivery and greater involvement of civil society. USAID/Angola, therefore, would like to build upon these positive trends and consider proposals that:

- (1) Empower and support local civil society organizations to implement effective public health promotion and disease prevention programs;
- (2) Meet GRA's HIV/AIDS prevention goals with cross-cutting, integrative, evidenced-based, low-cost strategies to address the epidemiological trends of HIV in Angola; and,
- (3) Include a focus on root causes of health-related behaviors and the role of women, girls and gender equality.

Target Geographic Areas: The Mission will consider programs that target priority areas for HIV/AIDS prevention.

Country: Azerbaijan

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to DGP-4Azerbaijan@usaid.gov and DGP@usaid.gov

and

Hard-copy hand-delivered to the US Embassy before 5pm Azerbaijan/local time

Address: 83, Azadlyg Prospekti, AZ 1007 Baku, Azerbaijan

Please bring identification for drop-off and please address envelope to

USAID/Azerbaijan: Development Grants Program

The types of awards: Cooperative Agreement

Maximum size of award: \$ 1.5 million

Life of the award: Up to 5 years

Sector(s) of Focus or Development problem(s) to be addressed: Rural Development

Agriculture makes up less than 10 percent of the GDP while contributing to almost 40 percent of the employment opportunities in Azerbaijan. With the turmoil that occurred in the 1990's and the emergence of an independent Azerbaijan, the agricultural sector, which once supplied a vast quantity of goods to the Soviet Union, collapsed, and large agricultural operations fragmented into small, privately owned parcels of land. The operations in this sector remain small and inefficient. Most farmers do not have knowledge about modern agricultural practices and use outdated production techniques. Extension and advisory services can make a big contribution to building this capacity, but such services are not widely available in Azerbaijan.

This program aims to improve the livelihoods of communities living outside of Baku by providing expertise and access to information to farmers. This type of service will have a large impact on farmers' ability to improve the quantity and quality of the products they produce. The program will provide training and on the job assistance to build their technical capacity in different value chains. It will also teach modern standards that are necessary to produce high-quality agricultural products, ensure that farmers learn from each other, establish hands-on training opportunities, and demonstrate new varieties and ways of doing things so as to increase the participants' income generating opportunities.

An innovative approach to ensuring sustainability and replicability is required.

Target geographic area(s): USAID/Azerbaijan welcomes applications in *Rural Development* sector from any geographic region outside of Baku.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

1. Promote the participation of women and adherence to environmental standards into all activities. Foster the adoption of international quality standards throughout various value chains.
2. Increase employment and economic opportunities for producers, processors, and others by developing new market linkages.
3. Integrate new technologies into current agricultural practices in order to increase efficiencies, decrease costs, or promote new techniques.
4. Provide a variety of classroom and field training, including demonstration plots, site visits, and other networking events, to teach and demonstrate new techniques and promote the exchange of information.
5. Provide training on producing, harvesting, and selling non-traditional, high-value crops such as berries.

Country: Benin

Language(s) for Concept Papers: French, English

Language(s) for Full Applications: French, English

Required format for submission of Concept Papers and Full Application:

Preferred method: Email to sstofel@usaid.gov and DGP@usaid.gov

Alternative method: One hard-copy hand-delivered to Scott Stofel or Marie-Pascal Agboton at the office of USAID/Benin (near US Embassy). Please ask the guard to ring either USAID employee. DO NOT leave application with the guard.

In either case, applications must be received by 5pm Cotonou time or the application will not be reviewed.

The types of awards: At USAID's option, the award may be made as a Fixed Obligation Grant (FOG), Cooperative Agreement or Grant.

Maximum size of award: \$1.4 million

Life of the award: Up to 3 years

Sector(s) of Focus or Development problem(s) to be addressed:

Proposals are sought for activities that address the sectors of focus or development problems described below. In all cases, the applicant should be a local Intermediary Organization or an organization that proposes to implement an activity in cooperation with a local Intermediary Organization. The proposal should demonstrate how local Intermediary Organizations can provide outreach to and capacity building support for local Non-Governmental Organizations, as building local capacity is an essential aspect of this award process. A local Intermediary Organization is an organization that provides services to, supports, or represents a number of local organizations. Examples are associations (like for farmers or businesses), umbrella organizations that advocate for or represent smaller local organizations (examples might be for women's rights or health services). Particular interest will be accorded to proposals that include innovative use of microcredit to further the goals of the activity.

Basic Education for Disadvantaged Populations

USAID/Benin is seeking innovative approaches to providing basic education skills, and particularly reading skills, to disadvantaged populations. Disadvantaged populations could include groups such as: children or youth of nomadic groups that are unable to attend formal primary school; girls and disadvantaged rural children who are not achieving reading skills and require

after school tutoring, study groups and additional learning materials; disabled children or adults who have no access to an appropriate learning environment; or illiterate women and out-of-school youth who need reading skills in order to be successful in business or to be accepted into employment skills training.

Illustrative Activities:

The following list of basic education activities is only illustrative - other innovative ideas are welcome:

- 1) Mobile or radio-based classes for those who are unable to attend formal primary school such as children or youth of nomadic groups;
- 2) After-school or home-based classes for those who are not achieving reading skills such as girls and disadvantaged rural children;
- 3) Special classes to meet the needs of children with disabilities who cannot attend regular primary school or activities to help integrate such children into the regular school system;
- 4) Primary school equivalency classes linked to microcredit for illiterate women and out-of-school youth who need reading and numeracy skills in order to be successful in business.
- 5) Primary school equivalency classes linked to microcredit for adults and youth with disabilities who need reading and numeracy skills in order to enter small business.

Target geographic area(s): For education activities, USAID/Benin will consider proposals for any region of Benin.

Civil Society-Driven Integrated Family Health Services for Peri-Urban Populations

Unlike most other West African countries, Benin is on the verge of becoming an urban majority country. The areas of fastest population growth are in three departments of the country in the south. Health service delivery trends over the last decade have also shown that coverage of health services (e.g., immunization rates, family planning and antenatal visits) in the poorest communities in the greater Cotonou area are lower than those of rural communes in northern Benin. The rate of childhood malaria and diarrhea in these underserved neighborhoods is particularly high.

Proposals are sought for activities to strengthen or develop a civil society network of community-based organizations to mobilize poor communities in urban and peri-urban areas to increase their uptake of health products and

access to health services. Proposals should develop models of public-private-civil society partnerships that will expand behavior change for improved health and social marketing of health supplies like condoms, family planning services, water purification tablets, mosquito nets and other commodities. For example, proposals may aim to raise civil society capacity to communicate opportunities to improve family health, and mobilize communities to take advantage of new government initiatives such as free malaria treatment and universal health coverage financing. Proposed activities could also seek to support collaborative, multi-sectoral efforts that could catalyze neighborhood leadership to prevent death and disease during crises, e.g., during floods.

Illustrative Activities:

The following list of health activities is only illustrative - other innovative ideas are welcome.

- 1) Mapping of health service providers – public, private and civil society in urban/peri-urban neighborhoods.
- 2) Creation of coalitions to increase community awareness of opportunities to improve health.
- 3) Pro-active preparations for health responses to flooding before the rains begin.
- 4) Involvement of private sector providers and pharmacies in communicating availability of socially marketed products.
- 5) Cross-referrals for family planning counseling, health care, and antenatal services between the private sector and public sector, civil society and private sector, and civil society and public sector.
- 6) Assistance in achieving full coverage of households during national campaigns for universal health coverage, net distribution and vaccinations.

Target geographic area(s): For health activities, preference will be given to activities which focus on Littoral, Ouémé and Atlantique departments.

Country: Bosnia-Herzegovina

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Applications should be sent via Email to echallenger@usaid.gov and DGP@usaid.gov before 3:00pm local time.

Non-conforming concept papers will not be reviewed. Due to the volume of anticipated concept papers, the format listed in the body of the RFA must be used, respecting the page limit.

The types of awards: Cooperative Agreement

Minimum and Maximum size of award: Minimum \$500,000 and Maximum \$2,000,000

Life of the award: Between 24 and 36 months

USAID/Bosnia invites organizations to submit applications in two main areas of focus:

- 1) Reconciliation in the Education Sector, and
- 2) Small and Medium-Sized Enterprise (SME) Development

Reconciliation in the Education Sector

The education system in Bosnia-Herzegovina (BiH) perpetuates ethnic and other divisions by teaching separate and often contradicting accounts of history, different curricula for culture and language classes, and, often, physical separation between students from different ethnic groups. The education system is not transmitting universal values of citizenship, tolerance and inclusion to BiH's youth. Although USAID/BiH does not have an education sector reform program, USAID's 2012-2016 Country Development Cooperation Strategy (CDCS) for BiH recognizes education as an integral component toward creating a more participatory, democratic society, as well as a competitive, market-oriented society.

USAID/BiH invites organizations to submit proposals which will bring together students and teachers of different ethnic groups from all parts of the country to strengthen their ability to contribute to a positive and peaceful future in BiH and reduce tendencies towards violence and instability based on ethnicity and religion. Proposed activities should focus on education sector interventions in partnership with local communities. Proposed activities should foster relationships among students of different backgrounds through joint project activities on topics of common interest. Special attention should be given to activities in two-schools-under-one-roof.

Applicants should refer to prospects for long-term sustainability of activities, beyond USAID funding. Applicants should build partnerships and ensure active involvement of key stakeholders in the project, including responsible government institutions, private sector (where appropriate), civil society and media. Applicants are encouraged to coordinate efforts with other key players in the education sector and be familiar with past and current initiatives in education. Applicants should build upon their successes and successes of other reconciliation projects, as well as work with other donors such as the OSCE, UNICEF, European Union and others.

USAID encourages applications to address one or more of the following topics:

- 1) Assist educational institutions, schools and/or students to develop mechanisms which will allow them to implement changes in school cultures, policies and practices towards inclusive education, building trust among students and teachers of different ethnic or religious backgrounds.
- 2) Increase teachers' understanding of the negative effect of ethnically- or religiously-biased approaches and materials in education; help teachers develop neutral approaches to education to help reduce and prevent stereotypes and prejudices, as well as foster tolerance towards others.
- 3) Encourage networking and advocacy initiatives to raise issues affecting inter-ethnic relations in schools, increase participation in decision making, increase accountability of decision-makers and work for resolutions to problems through changes in policy, laws, regulations or practices.
- 4) Create opportunities for students from across the country to interact, exchange opinions and challenge stereotypes and expose youth to positive models of integration.

Small- and Medium-Sized Enterprise Development

Local SMEs will continue to be the drivers of job growth in BiH and catalysts for entrepreneurial activity and economic growth. Private sector development is a centerpiece of USAID/BiH's 2012-2016 Country Development Cooperation Strategy.

USAID/BiH invites organizations to submit proposals that address constraints to SME growth. Proposals should complement USAID/BiH's ongoing private enterprise development programs and present new approaches to helping SMEs, such as in improving quality of products or productivity, marketing, tapping into

niche markets or value chains, and access to finance, or other approaches not yet addressed.

Applicants should refer to prospects for long-term sustainability of activities, beyond USAID funding. Applicants are encouraged to build technical expertise and management capacity of indigenous organizations. Proposals should consider how activities can increase economic empowerment of women and youth.

USAID encourages applications to address one or more of the following topics:

- 7) Development of local intermediary organizations that can support projects at various scales, particularly build capacity of other indigenous organizations to raise funds, to apply, access and absorb EU accession funds and other donor funding.
- 8) Dissemination and absorption of new technologies and technological processes and workforce development by SMEs in growing sectors (including agriculture) of the BiH economy.
- 9) Energy-efficient technologies and environmentally-friendly processes related to small and medium size enterprise development and EU standards.

Country: Botswana

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Applications:

Email to: DGPSouthernAfrica@usaid.gov; with a copy to DGP@usaid.gov emails must be received by 5pm South Africa/local time.

and

Hard copy mailed to Mission and post-marked before 5 pm South Africa/local time at:

USAID/Southern Africa
Attention: Doreen Robinson, DGP
P.O. Box 43
Pretoria 0027
South Africa

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$2m for Cooperative Agreement; \$1.5m for FOG

Life of the Award: Up to 5 years for Cooperative Award; up to 3 years for FOG

Sector(s) of Focus or Development problem(s) to be addressed:
Integrated Water and Climate Change

Water scarcity is a growing concern in Southern Africa, particularly in the face of anticipated climate change impacts. The region requires a coordinated response to effectively manage its water resources and protect its future availability for humans and ecosystems. USAID/Southern Africa is interested in working with NGOs to promote sound water resources management and strengthened local capacities, particularly those capacities that will enhance abilities to cope with climate change in Botswana. Only organizations with prior work experience in Botswana will be considered. Activities should include an institutional capacity building and behavior change component to ensure lasting success. Policy initiatives should emphasize improved science, analysis, capacity and participatory decision-making for relevant stakeholder groups. Special consideration will be given to applications that emphasize partnerships with universities and other educational institutions and employ creative means of engaging youth.

Target geographic area(s):

All of Botswana.

Mission Goals/Objectives (or links to them): For more information about current USAID/Southern Africa programs, links to current and past implementing partners and recent documents, please see the following webpage:
http://www.usaid.gov/locations/sub-saharan_africa/countries/rcsa/index.html

Country: Dominican Republic

Language(s) for Concept Papers: Spanish, English
Language(s) for Full Applications: English

Applicants are reminded to fully review the evaluation criteria for concept papers and other pertinent information in this world-wide request for applications (RFA) before planning and authoring their submission. This is a two tiered competition with concept papers submitted first and evaluated. Only the best concept papers will be invited to prepare and submit a full proposal.

Format: The format (style, type size, page limit, etc.) for concept papers and requested full proposals is set in an early section of this RFA. The concept paper and requested full proposals will be read from beginning to the end of the **designated 6-page limit** format. Applicants are reminded that if the format calls for six (6) pages and eight (8) pages are submitted, then two (2) will be removed before the technical evaluation committee reads the concept paper. Any criteria that are being judged must appear within the page limits set forth for the RFA.

Delivery of Submission: Concept papers must be delivered via email to two (2) official electronic locations. The email addresses are: DRRCO@usaid.gov and DGP@usaid.gov. All emails with attachments must be submitted on or before the closing day issued with this RFA by 5 p.m. Santo Domingo local time. No hard copies will be accepted to the concept paper competition. Only submissions sent directly to the two emails listed above will be considered. Because of possible electronic failures near deadlines, USAID suggests submissions be sent at least two days before to ensure inclusion. DRRCO@USAID.gov will acknowledge each submission within 24 hours.

Applicants are cautioned not to send concept papers to USAID staff as either informational copies or for the staff member to include in the competition. These submissions will not be considered. USAID staff forwarding concept papers will disqualify the entry to the competition.

Requested full applications will also be received via the two email points of entry. In addition, five copies of the requested full application - placed in individual binders. More information will be made available to applicants who are requested to make a full proposal.

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: Up to \$2 million for Cooperative Agreement; Up to \$1.5 million for FOG. USAID/Dominican Republic will give preference to submissions that indicate budgeting is reasonable and realistic for the activities indicated in the response.

Life of the award: Up to 5 years for Cooperative Agreement; Up to 3 years for FOG.

Sector(s) of Focus or Development problem(s) to be addressed:

USAID/Dominican Republic (USAID/DR) is seeking concept papers that present innovative approaches for integrating water, sanitation, and hygiene (WASH) and food security strategies to reduce the prevalence of poverty and underweight children through inclusive agriculture sector growth and improved nutritional status. We encourage concept papers that focus interventions in specific geographic area(s) supported by evidence that the selected area has comparatively high rates of poverty, malnutrition, diarrheal disease, and that it also has agricultural potential. USAID/DR aims to award at least two grants with a maximum five year implementation period and a cost of up to \$2 million in at least two impoverished rural communities in the DR.

Background

In the Dominican Republic, about 34 percent of the population is rural and spends, on average, 21.4 percent of their income on food.¹ Poverty rates remain among the highest in the Latin America and Caribbean region, reaching 42.2 percent nationally. In rural areas 56 percent of the population is classified as poor.² Moreover, the proportion of the population in extreme poverty remains around 10 percent³ and the Dominican Republic continues to have a serious malnutrition problem—nearly a quarter (24 percent) of the population is undernourished.⁴ Simultaneously, the emergence of cholera in the Dominican Republic and the nearly 600,000 cases of acute diarrheal disease reveal that WASH continues to be a challenge for the country. The epidemiologic information available indicates that these issues are inter-related and overlapping within pockets of the population that are highly affected by poverty.

Despite the decline in its contribution to GDP over the last 10 years⁵, the agricultural sector is still the second largest employer with over 14 percent of the total labor force who receives income in the DR, or about 550,000 people. Of that total, 19.2% of employees are female. As one Food and Agriculture Organization study on 43 countries⁶ states, agriculture is still the best way to impact rural

¹ Lamb, John. “Desafíos de la Seguridad Alimentaria para la República Dominicana.” September 6, 2011, USAID Rural Economic Diversification Project, Santo Domingo, Dominican Republic.

² Central Intelligence Agency. “World Fact Book,” www.cia.gov, July 12, 2011. Data are for 2004.

³ The Dominican Republic Millennium Development Goal Progress Report can be found at http://www.stp.gov.do/eWeb%5CArchivos%5CLibros%5CInforme_Objetoivo_Developmento_del_Milenio.pdf

⁴ The International Food Policy Research Institute Global Hunger Index can be found at <http://www.ifpri.org/sites/default/files/publications/ghi11.pdf>

⁵ Agriculture’s contribution to the GDP was 12.4% in 1991 and 7.6% in 2011. “PIB por Sectores de Origen”, Banco Central de la República Dominicana website, April 20, 2012.

⁶ Lamb, John. “Desafíos de la Seguridad Alimentaria para la República Dominicana.” September 6, 2011, USAID Rural Economic Diversification Project, Santo Domingo, Dominican Republic.

poverty and hunger since GDP growth from agriculture benefits the income of the poor 2-4 times more than GDP growth from non-agriculture. Understandably, the Dominican Republic's National Development Strategy⁷ identifies both access to improved water and sanitation services and food security as specific objectives.

Integrating Feed the Future (FtF) & WASH Activities in Impoverished Communities

USAID/DR supports activities in WASH and food security in order to contribute to the global goals established by Feed the Future (www.feedthefuture.gov) and the Global Health Initiative (www.ghi.gov), which include reducing maternal and child mortality, reducing under nutrition, especially among women and children, and increasing inclusive agriculture sector growth. The primary objective of this project is to increase income and improve nutritional and hygiene levels through the amelioration of potable water and sanitation facilities available to families in impoverished Dominican communities. The Mission's commitment to developing sustainable practices for reducing hunger and poverty, as well as increasing access to potable water and safe and clean latrines is clearly reflected in this integrated FtF/WASH project. We welcome concept papers that present innovative approaches for integrating WASH and food security strategies that save and improve lives through economic strengthening and improved health.

Sector-Specific Guidance

A. Feed the Future

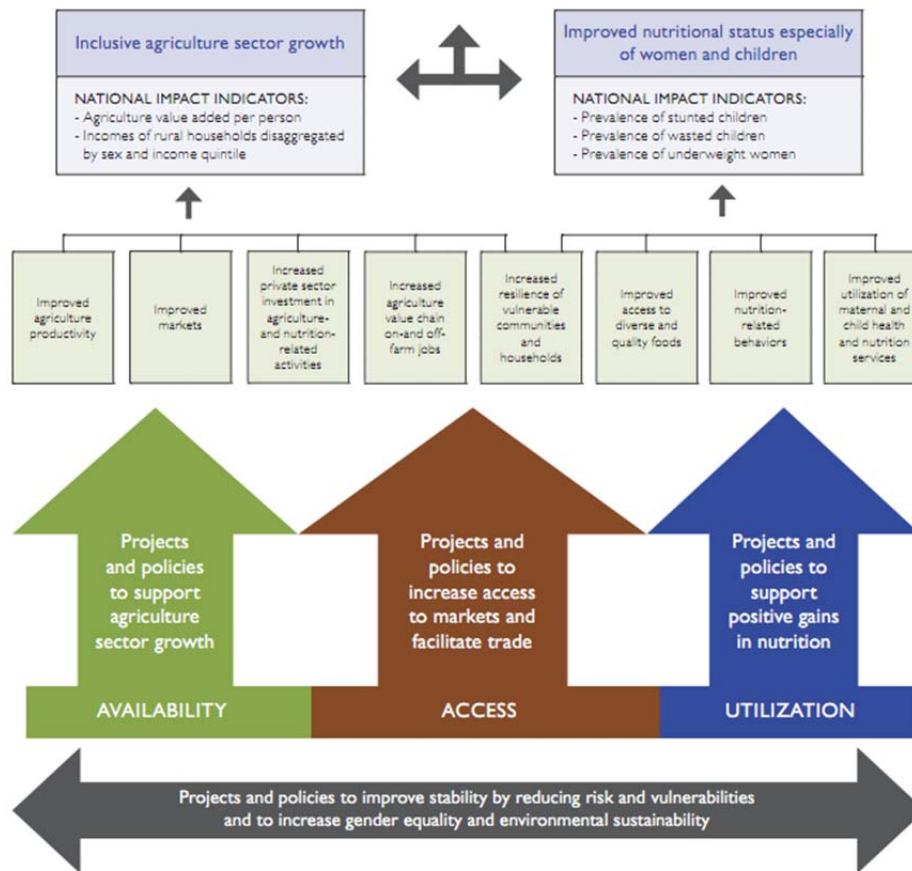
Results achieved should align with the Feed the Future results framework below.

⁷ The National Development Strategy can be found at http://www.economia.gob.do/UploadPDF/Ley_No_1-12_END_2030.pdf.

FEED THE FUTURE RESULTS FRAMEWORK

Goal: Sustainably Reduce Global Poverty and Hunger

NATIONAL IMPACT INDICATORS: *Prevalence of poverty and prevalence of underweight children*



B. Water, Sanitation, and Hygiene

USAID's investments in WASH reflect the urgent need to safeguard water resources for the well-being of both people and the environment. To meet the requirements of the water earmark, an activity must state as a primary or secondary objective increased access to drinking water supply or sanitation services, better quality of those services, and/or hygiene promotion. The objective may correspond to either direct or indirect support as defined in water management, water productivity or water security, but it must make explicit the linkage to drinking water supply, sanitation or hygiene outcomes. Activities must also identify objectively verifiable indicators and targets that track progress towards the identified drinking water supply, sanitation, and/or hygiene objective.

Partnerships for Sustainability

USAID/DR recognizes that strengthening institutions is critical to the sustainable development of the Dominican Republic. As a part of the USAID *Forward* agenda, the Mission is committed to working with local organizations and U.S. Private Voluntary Organizations (PVOs) to create paths towards sustainability. Non-governmental organizations (NGOs) and the private sector are particularly

important partners in combating food insecurity and poverty, as well as increasing access to safe water. NGOs are a part of local communities and often help provide voice to the concerns and issues within those communities, and can be key partners in helping advance development. The private sector can bring financial and technical resources, market access, cutting-edge business practices, in-country networks, and other expertise related to food security. We seek to leverage and coordinate our resources and efforts with NGOs, the private sector, and the full range of stakeholders interested in food security and agricultural-led growth. Applicants should identify ways in which USAID/DR can assist with institutional strengthening of their organizations, either directly or through the provision of external assistance. In addition, applicants are encouraged to pursue partnerships with the private sector that leverage cost share and describe how those partnerships will contribute to the overall goals and long-term sustainability of results in this project.

Key reference documents

Concept papers should adhere to the guidance described in the Feed the Future Strategy (www.feedthefuture.gov), the Global Health Initiative Strategy (www.ghi.gov), and the Senator Paul Simon Water for the Poor Act of 2005 (<http://www.gpo.gov/fdsys/pkg/BILLS-109hr1973enr/pdf/BILLS-109hr1973enr.pdf>). Additional references include:

- USAID/Dominican Republic Gender Assessment: http://pdf.usaid.gov/pdf_docs/PNADQ847.pdf
- USAID Women's Empowerment in Agriculture Index: <http://feedthefuture.gov/article/release-womens-empowerment-agriculture-index>
- USAID water programming: http://www.usaid.gov/our_work/cross-cutting_programs/water/WaterReport_2011.pdf; http://www.usaid.gov/our_work/cross-cutting_programs/water
- Demographic and Health Survey (<http://www.measuredhs.com>)
- USAID Country Health Statistical Report: Dominican Republic (http://pdf.usaid.gov/pdf_docs/PNADU662.pdf)
- World Food Program Hunger Map (<http://www.wfp.org/hunger/map>)
- USAID Development Experience Clearinghouse (<http://dec.usaid.gov>) evaluations and reports on relevant topics.
- Dominican Ministry of Public Health Epidemiologic Bulletin

Country: Ecuador

Language(s) for Concept Papers: Spanish or English

Language(s) for Full Applications: Spanish or English

Required format for submission of Concept Papers and Full Application:

Email to dgpecuador@usaid.gov and DGP@usaid.gov before 1700h

Ecuador/local time.

Sector(s) of Focus or Development problem(s) to be addressed:

1. Private Sector Competitiveness – tourism
2. Private Sector Competitiveness - strengthen networks of public-private agencies
3. Private Sector Competitiveness – addressing issues in artisanal mining communities
4. Conflict Mitigation and Reconciliation
5. Economic Opportunities
6. Local Capacity Development

Please note that type of award, size of award, and life of award varies by sector.

1. Private Sector Competitiveness- Tourism

The types of awards: Cooperative Agreement

Maximum size of award: Up to \$2 million per application

Life of the award: Up to 5 years

USAID/Ecuador seeks to implement a program to promote Ecuador as an accessible tourism destination enabling conditions to attract tourists with disabilities and senior citizens. Activities will help build the capacity of tourism providers to improve their services to support the demands of PWD and senior citizens, promoting entrepreneurial development to better cater to this market niche. Activities will contribute to increased participation of PWD through improving conditions for accessible tourism.

According to the United Nations there are approximately 650 million persons with disabilities (PWD) that represent a huge untapped market for the tourism and travel industry. In addition, there are 600 million senior citizens around the world and the number will double in ten years, representing a large potential market for tourism.

USAID/Ecuador will complement this program by establishing a guarantee credit mechanism (DCA) to provide loans to tourism sector stakeholders to improve accessibility of their facilities. This will be the first worldwide DCA that supports accessible tourism.

Target geographic area(s): While the Mission will consider proposals for any region in Ecuador, preference will be given to activities which focus on the Amazon, the Haciendas of the Highlands and the three UNESCO World Heritage Centers in Ecuador (Quito, Cuenca and Galapagos).

Illustrative Activities

The following is a list of illustrative activities, other innovative ideas are welcome.

- a. Marketing and promotional plans to attract international, regional and national tourism.
- b. Attract investment to improve and expand accessible tourism services.
- c. Facilitate access and cooperation between the tourism sector and banks and/or cooperatives to promote financing to improve physical accessibility.
- d. Develop new tour circuits and products accessible for PWD and senior citizens.
- e. Attend national and international conventions to promote accessible tourism.
- f. Increase employment opportunities to PWD in the tourism sector.
- g. Provide training to tourism service providers on disability issues.
- h. Promote medical tourism in areas with adequate facilities.
- i. Strengthen institutional capacity of local tourist services

2. Private Sector Competitiveness - strengthen networks of public-private agencies

The types of awards: Cooperative Agreement

Maximum size of award: Up to \$2 million per application

Life of the award: Up to 5 years

During the past four years, USAID has worked to create and strengthen a network of public-private economic development agencies and investment attraction agencies that prioritize economic development needs of their provinces, and lead implementation of entrepreneurial initiatives. To date, more than nine economic development agencies and at least 3 regional investment attraction agencies are working efficiently. Still, Ecuador has a concentrated economy, where most economic activity happens in three cities (Quito, Guayaquil and Cuenca) and most of the income is generated from a few sectors (oil, shrimp, bananas, and most recently cut flowers). In order to create inclusive growth there is a need to geographically and sectorially diversify the economy. USAID/Ecuador seeks to implement a specific program to strengthen this network of public-private agencies so they can lead creation of inclusive value chains, investment and access to markets for non-traditional sectors, such as tourism and value added products from Andean crops (chocolate, quinoa bars, tropical fruit pulps).

Target geographic area(s): The Mission will consider assistance to agencies nation-wide, with priority given to those agencies working in provinces with relatively high rural populations, outside of Quito and Guayaquil, close to areas of high biodiversity, where the private and public sector are working together under solid institutions.

Illustrative Activities

The following is a list of illustrative activities, other innovative ideas are welcome.

- a. Strengthen the institutional and organizational capacity of provincial economic development agencies and investment attraction agencies. To make them sustainable in the long term and capable of implementing economic development projects in their provinces.
- b. Have these agencies implement governance norms and rules, including establishment of public-private boards of directors, norms for selection of their leadership and staffing structures, etc.
- c. Work with provincial economic development agencies in developing value chain projects that involve large, medium and small size enterprises with significant sectorial impact.
- d. Strengthen investment attraction agencies capacity to attract foreign direct investments for their provinces through targeted promotion strategies and investment promotion visits.
- e. Provide technical assistance to agencies implementing GOE funded programs and initiatives in their provinces, as agents for the national and provincial governments.

3. Private Sector Competitiveness - addressing issues in artisanal mining communities

The types of awards: Cooperative Agreement

Maximum size of award: Up to \$2 million per application

Life of the award: Up to 5 years

Ecuador, a high mineral resources country, has historically exploited its mines through, low technology, artisanal mining. Recently, President Correa's administration has been developing the mining sector by signing contracts with public and private international large-scale mining companies. A number of mining regions are still being exploited by illegal, small artisanal miners, who lack the capital and will to finance more efficient and less contaminating technologies. These small miners, particularly in the northern border province of Esmeraldas often have to rent machinery, the owners of which have control of the business, leaving only marginal benefits for small miners. This type of mining activity also leaves serious environmental consequences, with mercury and arsenic being spilled into the harvesting lands and water systems, with the potential to poison

the surrounding population, as well as produce and marine life (e.g. shrimp, which is one of Ecuador's major exports) from the region. The Government, mostly through the National Mining Enterprise (ENAMI) and the military, is seeking to control this problem and formalize small miners and their mining practice, by giving them permits and lending them more modern machinery while teaching them less environmentally destructive mining practices. The Government of Ecuador has expressed interest in obtaining USAID support in this process. Artisanal mining is concentrated in the areas of highest poverty and the highest concentration of Afro-Ecuadorian and indigenous populations. It also tends to be concentrated in border areas with Colombia and Peru, which are vulnerable to conflict.

USAID/Ecuador requests applications from local civil-society organizations, non-public universities in Ecuador or the surrounding countries, local private sector entities, US PVOs and others who meet the definition on local non-governmental organization (as defined in the body of this RFA) and are interested in providing comprehensive support to artisanal mining in Ecuador in three areas:

1. Developing alternative livelihoods for small miners who have historically earned their income from artisanal and illegal mining and who need alternative sources of income, including agriculture activities, livestock raising or others, which are profitable and financially and environmentally sustainable in the long term.
2. Developing environmental remediation activities based on international best practices. The goal will be to partner with public and private organizations (including ENAMI, Plan Ecuador, Provincial Governments and others) that are engaged in remediation and regional development, and provide technical assistance on state of the art remediation techniques. Ideally, remediated lands will be left ready for sustainable, productive purposes.
3. Develop conflict management initiatives, to promote dialogue and dispute resolution around artisanal mining. Proponents should refrain from proposing one-time conflict resolution instances. Rather, institutions who can deal with conflict mitigation, management and resolution should be established and strengthened with DGP funding.

Target geographic area(s): Activities should be implemented in areas where artisanal mining is extensive, including Northern Esmeraldas, South Eastern Zamora (Nambija), El Oro, and others.

Illustrative Activities

- Engage small miners and their families in alternative economic activities with significant economic potential. Beneficiaries will be linked to solid value chains that are well established and participating in local and/or international markets.

- Advise ENAMI, Plan Ecuador and others on best practices regarding remediation. Through seminars, participant trainings and technical assistance develop expertise in country on state-of-the-art remediation models. Bring international expertise and develop exchange programs so that Ecuadorians will see the best international experiences in terms of environmental remediation.
- Create conflict mitigation units within public and/or private institutions in country. Develop capabilities in-country on alternative dispute resolution methods focused on mining. Identify opportunities to bring conflicting parties together and promote dialogue. Look for international experiences and possible ways to address conflicting interests. House this experience in conflict-management institutions created, which should be solid technically and financially by project –end.

4. Conflict Mitigation and Reconciliation

The types of awards: Cooperative Agreement

Maximum size of award: Up to \$2 million per application

Life of the award: Up to 5 years

Poor social and economic infrastructure and inadequate economic opportunities increasingly threaten stability in the northern border region (NBR). Four hundred miles of porous border with Colombia facilitate illicit cross-border activities. The main security threat is trafficking of weapons, explosives, drugs, coca paste, and precursor chemicals.

Struggle for control of the border region, which has a high concentration of poor Afro-Ecuadorians and indigenous populations, has resulted in a situation where the Revolutionary Armed Forces of Colombia (FARC) and other illicit actors seek to control strategic assets and erode government authority. The border populations are often caught in the middle of this power struggle, and due to the dearth of economic alternatives and lack of basic citizen security, these populations are extremely vulnerable to prevailing criminal elements and illicit activities.

The problem of generalized poverty and high unemployment among Ecuadorians in the northern border is exacerbating the vulnerability of this segment of the population. The lack of viable economic opportunities and basic social services makes them particularly susceptible to illicit activities. Youth and young adults in the NBR, particularly Indigenous and Afro-Ecuadorians are often intimidated by the FARC and other illegal groups and recruited to work for them.

USAID would like to fund a program to help stabilize strategic areas of the most volatile border provinces by mitigating key drivers of conflict. Programs that provide improved livelihoods and conflict mitigation and management skills to youth and young adults are sought. The purpose is to target geographic areas with development activities to counteract the lack of viable economic opportunities for marginalized and vulnerable segments of the local population, specifically youth.

Target geographic area(s): The identified geographic areas for this activity are Esmeraldas and Sucumbios provinces.

Illustrative Activities:

The following list of activities is only illustrative - other innovative ideas are welcome.

- a. Promote participation of youth in activities that provide skills in conflict management and mitigation (CMM). This would be training as well as establishment of community youth groups to promote greater understanding and make them more resilient to the influence and pressure of terrorist and criminal elements. Create links to local youth councils.
- b. Increase employment opportunities for youth by linking to producer associations that aim to improve local production and to local companies.
- c. It is envisioned that sub-grants would be awarded to associations that offer innovative methods to build the capacity of youth and young adults to promote and implement activities that mitigate and manage conflict at a community level.

5. Economic Opportunities

The types of awards: Cooperative Agreement

Maximum size of award: Up to \$1.5 million per application

Life of the award: Up to 3 years

A new microfinance sector architecture is being constructed responding to the recently enacted “Ley de Economía Popular y Solidaria” (May 2011) and its bylaw (February 2012). This architecture consists of a new Superintendency of Micro Finance Institutions (MFI), the Popular and Solidarity Economy Institute (IEPS-Spanish), and the Microfinance Corporation. Over 2,000 MFIs exist in Ecuador and less than 100 operate under the supervision of the current Superintendency of Banks (SIB). Unregulated and unsupervised MFIs are a serious impediment for financial deepening, economic development, and integration of marginalized producers into the formal economy.

One of the critical challenges, facing the new Superintendency of MFIs, is the total lack of well-trained supervisors. None of the academic institutions in Ecuador offer a career specialized in microfinance regulation and supervision, and professionals from the SIB don't have the time or the special competencies to train MFI supervisors. There is an urgent need to support this important sector by helping Ecuador to design, seek financing, and set in motion a sustained academic program to prepare competent MFI supervisors.

USAID would like to fund a program to train competent supervisors for microfinance institutions (MFIs) by designing a solid curriculum and academic program (including faculty profiles and selection of the academic institution).

Target geographic area(s): While the academic program will be located in one of the main cities, the location of the supervisor training will be in the rural areas where most of the currently unsupervised MFIs operate.

Illustrative Activities

The following is a list of illustrative activities, other innovative ideas are welcome.

- a. Design a curriculum for a post graduate academic program and identify pre-requisites for candidates.
- b. Prepare a budget for the first 5-6 years of implementation of the program, including an estimation of affordable tuition and fees. Identify potential sources of funding and negotiate commitments.
- c. Evaluate the best alternative to house this program among local academic institutions
- d. Support selected academic institution to implement the program, including the recruiting of faculty.

6. Local Capacity Development

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: Up to \$1 million per application

Life of the award: Up to 5 years for Cooperative Agreement, up to 3 years for FOG

USAID is currently undergoing an agency-wide reform effort, known as *USAID Forward*. One objective of this effort is to strengthen local organizations' capacity to improve aid effectiveness and sustainability. USAID/Ecuador is undergoing a vigorous effort to strengthen local organizations as a means to incorporate them as partners in development. Such inclusion would offer a broader range of local partners for USAID and other stakeholders to benefit from new ideas and approaches. Local organizations may also have a better understanding of the local economic and political context and environment and greater sensitivity to

social and cultural issues for greater empowerment of their clients. As part of this initiative, USAID/Ecuador seeks to work alongside host government entities, local civil society organizations and the private sector to strengthen their organizational capacities.

It is not uncommon for organizations to concentrate on their technical capacities leaving little room for their institutional growth. Such deficit leaves them ill-prepared to manage large scale projects as such endeavors require proficiency at both, the technical and managerial levels. As a result, many organizations lack the appropriate organizational and financial capacities putting their sustainability at risk. USAID/Ecuador intends to fund a program to improve the organizational capacity of selected local institutions—both governmental and non-governmental—by strengthening their skills in areas related to administration, human resource management, financial management, organizational processes, program design, strategic planning and performance management, among others. Such skills would provide selected organizations with the institutional strength to fulfill their mandate and further the overall advancement of Ecuador.

Target geographic area(s): nationwide

Illustrative Activities

The following is a list of illustrative activities, other innovative ideas are welcome.

- a. Implement tools to assess key management aspects in at least 15 selected organizations. One instrument to be considered is the USAID' Organizational Capacity Assessment (OCA) to help identify areas where capacity development support is needed. Organizational capacity includes, but is not limited to, governance, administration, human resources, internal controls, accounting and financial management, strategic planning, program and performance management, organizational management, and communications.
- b. Provide training, technical assistance and mentoring on the subjects above to the selected organizations as a means to improve their institutional capacity.
- c. Strengthen the capacity of these organizations to develop effective strategies to attract new funding sources, such as private sector, donors, government entities, etc.
- d. Develop performance measurement plans and evaluate performance against set targets.
- e. Develop manuals and procedures to institutionalize processes of selected local organizations.
- f. Design an academic program (instructor-led, distance learning and/or on-line) on management and administration of local organizations and evaluate the best alternative to house this program among local academic institutions.

- g. Develop a system to ensure the sustainability of the academic program and accessibility of the program for organizations with limited resources.

(En Español)

PROGRAMA DE DONACIONES PARA EL DESARROLLO (DGP)

FORMATO DEL DOCUMENTO CONCEPTUAL Y CONTENIDO

El documento conceptual debe responder a las prioridades específicas del país e instrucciones, de acuerdo a lo expuesto en el Apéndice 1 por cada Misión participante.

Las consideraciones importantes para el envío del documento conceptual son:

- Si planea enviar un documento conceptual para más de un país, el aplicante debe remitir por separado un documento conceptual para cada país a menos que proponga trabajar en múltiples países a través de una Misión USAID regional.
 - Solamente las misiones regionales participantes aceptarán documentos conceptuales para más de un país.
- Mientras que USAID fomenta las alianzas creativas y las propuestas innovadoras, también animamos a los aplicantes a ser realistas en plantear lo que puede ser razonablemente alcanzable en el proyecto propuesto dadas las actividades propuestas, presupuesto y período.

Las misiones pueden escoger ofrecer a todos los aplicantes al DGP la oportunidad de presentar la información de sus documentos conceptuales oralmente y personalmente. La información presentada será considerada adicionalmente al documento conceptual escrito y será evaluada con el criterio establecido en este RFA (Request for Applications – Solicitud de Aplicaciones). Si la Misión a la cual usted ha aplicado escoge ofrecer esta opción, usted será contactado por la Misión una vez que reciba su documento conceptual para acordar una reunión para la presentación y obtener detalles sobre el contenido y duración de la presentación.

FORMATO DEL DOCUMENTO CONCEPTUAL

Todo documento conceptual debe tener:

- Máximo seis (6) páginas
- Escrito en computador a espacio simple en papel tamaño carta, **no** papel legal.
- Impreso en tamaño de letra 12; los cuadros, tablas y hojas de cálculo no podrán tener un tamaño menor a 10.
- Escritos en inglés a menos que indique lo contrario en la información específica para el país en el Apéndice 1.

- Si lo envía electrónicamente, escrito en Word (versión 2000 o posterior) o formato Adobe PDF con hojas de cálculo en MS Excel (versión 2000 o posterior) o en tablas que sean compatibles con MS Word.

Las seis páginas no incluyen la portada/carátula o los adjuntos. Los adjuntos deben ser concisos y no ser una continuación de lo solicitado para el contenido de las seis páginas.

Las seis páginas no incluyen la portada/carátula o los adjuntos. Los adjuntos deben ser concisos y no ser una continuación de lo solicitado para el contenido de las seis páginas.

Los documentos conceptuales deberán incluir los siguientes tres (3) componentes y tratar todos los sub-componentes. Por favor organice el documento conceptual de acuerdo al siguiente esquema:

a) Portada/carátula (no cuenta para el límite de 6 páginas)

- USAID RFA # RFA-OAA-12-000025
- Nombre y dirección de la organización
- Persona de contacto (nombre de contacto, número de teléfono, fax y correo electrónico)
- Nombre(s) y título(s) del principal autor(es) del documento conceptual
- Título del programa propuesto, país y sector del Development Grant Program (DGP) que se propone; monto total en dólares requerido para el período del proyecto;
- Identificar cómo está registrada la organización aplicante: como Organización Voluntaria Privada de los Estados Unidos (US PVO) o como una organización no gubernamental local (LNGO);
- Nombre de otras organizaciones o donantes a quienes el aplicante está enviando la aplicación y/o quienes están financiando las actividades propuestas; y
- Firma, nombre y título del representante autorizado de la aplicación.

b) Descripción técnica (máximo 6 páginas)

Análisis de la Situación: Breves antecedentes sobre la oportunidad/desafío específico de desarrollo que se va a abordar en el documento conceptual; incluya una descripción de la población objetivo y cómo y cuándo el concepto de este proyecto se originó (por ejemplo: una evaluación de necesidades de una comunidad; conclusiones de/o la continuación de un proyecto diferente; a través de una evaluación de datos a nivel del país/distrito, etc.); y justificación de por qué el aplicante es la entidad apropiada para abordar efectivamente el desafío de desarrollo identificado y en el largo plazo y/o generar un cambio catalítico que lleve a un impacto de desarrollo escalable.

Enfoque propuesto: El enfoque propuesto para este desafío/oportunidad de desarrollo; incluya metas, objetivos, métodos (actividades) y resultados esperados los cuales están conectados lógicamente y abordan efectivamente el desafío. Describa cómo el programa medirá el éxito y por qué la organización del aplicante tiene las condiciones para alcanzar los objetivos propuestos. Incluya, si hubiera, cualquier método o enfoque innovador o escalable, incluyendo riesgos y beneficios asociados. Discuta cómo el proyecto propuesto impacta a hombres y mujeres diferentemente y cómo el diseño del proyecto incorpora asuntos de género; y si el aplicante es una organización local intermediaria, describa el plan para promover el desarrollo de las capacidades de las pequeñas organizaciones no gubernamentales locales (LNGOs) y el impacto esperado.

Conexión con los objetivos y prioridades de USAID: Describa cómo el alcanzar estos objetivos contribuirá al cumplimiento de los objetivos estratégicos relevantes de la Misión USAID y cómo contribuirá a las prioridades de la Agencia.

Presupuesto: El presupuesto y período propuestos incluyendo el tipo de apoyo presupuestario solicitado a USAID desagregado por costos directos e indirectos del programa. Los costos directos incluyen, pero no se limitan a, costos de salarios, talleres, viajes, comunicaciones, preparación de reportes, emisión de pasaportes, visas, exámenes médicos y vacunas, seguros (otros adicionales a los seguros incluidos en los beneficios extras del aplicante), equipos, renta de oficina, etc. Costos indirectos incluyen aquellos que son incurridos por una organización de manera global pero que no pueden ser atribuidos directamente a un proyecto específico.

Sustentabilidad: Una discusión de la sustentabilidad: cómo las actividades del proyecto/programa serán sustentables luego de que termine el convenio.

Desarrollo de la capacidad: Una descripción de cómo el aplicante utilizará los fondos para desarrollo de la capacidad para fortalecer su organización. Para este componente, los aplicantes deben enviar una descripción de su plan para evaluar su capacidad organizacional para cumplir con los requerimientos de USAID y para implementar un programa sustentable y efectivo; y los objetivos de desarrollo de capacidad y las actividades que desarrollará si reciben una donación no-reembolsable DGP.

Podría ser útil revisar los recursos listados en el Apéndice 3 de esta Solicitud de Aplicaciones (RFA), la herramienta de USAID “*Evaluación de la Capacidad Organizacional – OCA*” ubicada en:

<http://www.pactworld.org/galleries/resource-center/Intro%20to%20OD%20First%20Edition.pdf> , *Las Recientes Prácticas en Monitoreo y Evaluación – TIPS* ubicadas en http://pdf.usaid.gov/pdf_docs/pnacg612.pdf), y considerar los tipos de actividades que un aplicante debería realizar para mejorar su organización y el

impacto de desarrollo. Las preguntas que los aplicantes podrían querer considerar incluyen:

- ¿Sería de utilidad una capacitación en manejo financiero?
- ¿Sería de utilidad contar con un plan de desarrollo del personal o con un plan de comunicaciones y mercadeo?
- ¿Se podría beneficiar el personal de una capacitación en manejo de proyectos o en monitoreo y evaluación?
- ¿Cuáles objetivos de desarrollo de la capacidad podría el aplicante alcanzar razonablemente en el período de desempeño de un convenio DGP?

Para este componente del documento, USAID anima a los Aplicantes a considerar sus fortalezas y sus debilidades como una organización, y a discutir cómo los fondos DGP podrían ser utilizados para ayudar al fortalecimiento de su organización para alcanzar un mayor impacto y de más larga duración. Refiérase al Apéndice 3 para mayor información sobre evaluación de la capacidad organizacional y la creación de planes de desarrollo organizacional.

Alianzas: El rol de los socios propuestos, por qué se los seleccionó y cómo el Aplicante trabajará con esos socios en el proyecto propuesto. Nota: por favor revise cuidadosamente el criterio de elegibilidad listado en la Sección III A, el cual define sub convenios y el uso de proveedores de servicios.

Costos de Contrapartida: El monto y la fuente de la contribución de costos de contrapartida en efectivo o en especie por el aplicante; enviar información indicando los recursos financieros y/o en especie a ser apalancados. Un costo de contrapartida o un equivalente de fuentes no gubernamentales del 10% o más es requerido para las organizaciones locales no gubernamentales (LNGO). Un costo de contrapartida del 15% o más es requerido para organizaciones voluntarias privadas de los Estados Unidos (US PVO). Enviar un compromiso escrito de las organizaciones, socios, donantes o individuos que compartirán costos, sujeto a los fondos DGP otorgados por USAID. Nota: por favor revisar cuidadosamente la aplicación completa del requerimiento de costos de contrapartida en la Sección IVb.C.3.11 (PG 29)

c) Adjuntos (Sin límite de páginas, pero por favor sea conciso)

- Declaración de asistencia de USAID y/o del Gobierno de los Estados Unidos de América (directamente o como sub-donatario) recibida durante los cinco años anteriores. Las organizaciones que no han recibido fondos de USAID durante los anteriores cinco años deben mencionar este hecho. Incluya una breve descripción de actividades, donante(s) y monto de apoyo recibido en los cinco años anteriores.
- Descripción concisa de la experiencia del aplicante sobre desarrollo incluyendo descripciones de proyectos, resultados y evaluaciones;

- Una breve declaración de la historia de la organización, su principal enfoque en desarrollo, capacidades y desafíos;
- Un organigrama de la organización;
- Roles del personal propuesto y sus responsabilidades; y
- Plan de trabajo para el período de desempeño (por ejemplo duración del proyecto)

País: Ecuador

Idioma(s) para el Documento Conceptual: español o inglés

Idioma(s) para Aplicaciones Completas: español o inglés

Formato requerido para la presentación del Documento Conceptual y Solicitud Completa:

Enviar correo electrónico a dgpecuador@usaid.gov y DGP@usaid.gov antes de las 17h00, hora local de Ecuador.

Los programas se enfocan en los siguientes sector(es) o problema(s) relacionados con el desarrollo:

1. Competitividad del sector privado – turismo
2. Competitividad del sector privado – fortalecimiento de redes de agencias públicas-privadas
3. Competitividad del sector privado - abordar temas de las comunidades dedicadas a la minería artesanal
4. Mitigación de conflictos y reconciliación
5. Oportunidades económicas
6. Desarrollo de capacidades locales

Por favor tomar en cuenta el tipo de acuerdo, monto y duración de la donación, los mismos que varían según el sector.

1. Competitividad del sector privado – turismo

Tipos de donación: Acuerdo Cooperativo

Monto máximo de la donación: hasta \$2 millones por aplicación

Duración de la donación: hasta 5 años

USAID/Ecuador busca implementar un programa para promover al Ecuador como destino turístico accesible facilitando las condiciones para atraer turistas con discapacidad y de tercera edad. Las actividades deberán ayudar a fortalecer la capacidad de los agentes de turismo con el fin de que mejoren sus servicios y satisfagan las necesidades de personas con discapacidad (PCD) y tercera edad, promoviendo el desarrollo empresarial para ofrecer los mejores servicios dirigidos a este nicho de mercado. Las actividades

contribuirán a incrementar la participación de PCD gracias a la mejora de las condiciones para turismo accesible.

Según las Naciones Unidas hay aproximadamente 650 millones de personas con discapacidad (PCD) lo que representa un gran mercado sin explotar para la industria del turismo. Adicionalmente, en la actualidad existen 600 millones de personas de la tercera edad alrededor del mundo y el número se duplicará en diez años lo que representará un gran mercado potencial para el turismo.

USAID/Ecuador complementará las actividades de este programa con un programa de garantía de crédito (PGC) para ofrecer préstamos a los agentes del sector turístico con el fin de mejorar la accesibilidad de sus instalaciones. Éste será el primer PGC a nivel mundial que apoye el turismo accesible.

Definición de área(s) geográficas: La Misión considerará las aplicaciones de cualquier región del Ecuador; sin embargo, se dará preferencia a las actividades que se enfoquen en la Amazonia, haciendas de la sierra y las tres áreas del Ecuador declaradas Patrimonio de la Humanidad por la UNESCO (Quito, Cuenca y Galápagos).

Actividades Ilustrativas:

La siguiente lista de actividades es únicamente ilustrativa, se tomará en cuenta otras ideas innovadoras.

- a. Elaborar planes de mercado y promocionales para atraer el turismo internacional, regional y nacional.
- b. Atraer inversión para mejorar y expandir los servicios de turismo accesible.
- c. Facilitar el acceso y cooperación entre el sector turístico, bancos y/o cooperativas para promover el financiamiento y mejorar la accesibilidad física.
- d. Desarrollar nuevos circuitos turísticos y productos accesibles para PCD y tercera edad.
- e. Asistir a convenciones nacionales e internacionales para promover el turismo accesible.
- f. Incrementar oportunidades de empleo para personas con discapacidad en el sector turístico.
- g. Brindar capacitación a proveedores de servicios turísticos en temas de discapacidad.
- h. Promover el turismo médico en áreas que dispongan de instalaciones adecuadas.
- i. Fortalecer la capacidad institucional de servicios turísticos locales.

2. Competitividad del sector privado – fortalecimiento de redes de agencias públicas y privadas

Tipos de donaciones: Acuerdo Cooperativo

Monto máximo de la donación: hasta \$2 millones por aplicación

Duración de la donación: hasta 5 años

En los últimos cuatro años, USAID ha trabajado para crear y fortalecer una red de agencias públicas y privadas de desarrollo económico y atracción de inversiones que prioricen las necesidades de desarrollo económico de sus provincias y lideren la ejecución de iniciativas empresariales. Hasta la fecha, más de nueve agencias de desarrollo económico y al menos 3 agencias regionales en atracción de inversiones trabajan de manera eficiente. No obstante, Ecuador posee una economía focalizada, en la que la mayor parte de la actividad económica se lleva a cabo en tres ciudades (Quito, Guayaquil y Cuenca) y la mayor parte del ingreso se genera en pocos sectores (petróleo, camarón, banano y recientemente el cultivo de flores). Para crear un crecimiento inclusivo se hace necesario diversificar la economía en áreas geográficas y por sectores. USAID/Ecuador busca ejecutar un programa específico para fortalecer esta red de agencias públicas y privadas con el fin de que puedan liderar la creación de cadenas de valor inclusivas, promuevan la inversión y el acceso a mercados en sectores no tradicionales, tales como turismo y productos de valor agregado de cultivos andinos (chocolate, barras de quinua, pulpa de frutas tropicales).

Definición de área(s) geográficas: La Misión considerará brindar asistencia a agencias a lo largo de todo el país; se dará prioridad a aquellas agencias que trabajen en provincias con una población rural, en las afueras de Quito y Guayaquil, cerca de áreas con mucha biodiversidad, en donde el sector privado y público trabajan en conjunto y con instituciones sólidas.

Actividades Ilustrativas

La siguiente lista de actividades es únicamente ilustrativa, se tomará en cuenta otras ideas innovadoras:

- a. Fortalecer la capacidad institucional y organizacional de agencias de desarrollo económico y de agencias de atracción de inversiones en provincia, para que sean sostenibles a largo plazo y capaces de ejecutar proyectos de desarrollo económico en sus provincias.
- b. Conseguir que estas agencias implementen normas de gobernanza y directrices que incluyan la creación de juntas directivas público-privadas, normas para selección de líderes y estructura de personal, etc.

- c. Trabajar con agencias de desarrollo económico a nivel provincial en el desarrollo de proyectos de cadenas de valor que involucren pequeñas, medianas y grandes empresas con importante impacto sectorial.
- d. Fortalecer la capacidad de agencias de atracción de inversiones para atraer la inversión extranjera directa para sus provincias a través de estrategias de promoción específicas y visitas para promover inversiones.
- e. Brindar asistencia técnica a las agencias que ejecutan programas e iniciativas financiados por el Gobierno del Ecuador en sus provincias, como agentes de gobiernos provinciales y nacionales.

3. Competitividad del sector privado – temas de las comunidades dedicadas a la minería artesanal

Tipos de donaciones: Acuerdo Cooperativo

Monto máximo de la donación: hasta \$2 millones por aplicación

Duración de la donación: hasta 5 años

Ecuador, un país con muchos recursos mineros, ha explotado a lo largo de su historia sus minas a través de la minería artesanal y casi sin mayor tecnología.

Recientemente, la administración del Presidente Correa ha decidido desarrollar el sector minero a través de la firma de contratos con compañías mineras internacionales pública y privada a gran escala. Un sinnúmero de regiones mineras están aún siendo explotadas por pequeños mineros artesanales ilegales, quienes carecen del capital y voluntad para financiar tecnologías más eficientes y menos contaminantes. Estos pequeños mineros, ubicados principalmente en la provincia de Esmeraldas en la frontera norte, por lo general tienen que arrendar maquinaria a los dueños quienes tienen el control del negocio, lo que deja pocos beneficios para los pequeños mineros. Este tipo de actividad minera también trae consigo consecuencias ambientales serias ya que el mercurio y arsénico se esparce en las tierras de cultivo y en sistemas de agua, lo que representa un alto riesgo de envenenamiento para la población, así como para la producción y la vida marina, como por ejemplo, para el camarón que es uno de los mayores productos de exportación de Ecuador. El gobierno, mayoritariamente, a través de la Empresa Nacional de Minería (ENAMI) y del Ejército, busca controlar este problema y formalizar a pequeños mineros y su práctica gracias al otorgamiento de permisos y préstamos de maquinaria moderna y con la enseñanza de prácticas mineras menos destructivas para el medio ambiente. El gobierno de Ecuador ha expresado su interés de obtener apoyo de USAID en este proceso. La minería artesanal se halla concentrada en áreas de mucha pobreza y con alta población afro

ecuatoriana e indígena, así como en áreas fronterizas con Colombia y Perú, las mismas que son vulnerables a conflictos.

USAID/Ecuador solicita aplicaciones de organizaciones locales de la sociedad civil, universidades particulares de Ecuador o países aledaños, entidades locales del sector privado, organizaciones privadas voluntarias (PVOs) de los Estados Unidos y otras que cumplan con la definición de organización no gubernamental local, según se estipula en esta solicitud de aplicación (RFA), y que tengan interés en brindar apoyo integral a la minería artesanal en el Ecuador, en tres áreas:

1. Desarrollar medios de vida alternativos para pequeños mineros que a lo largo de su vida hayan obtenido ingresos de la minería artesanal e ilegal y que requieran fuentes de ingreso alternativos, ya sea con actividades agrícolas, de ganadería u otras que sean rentables y económica y ambientalmente sustentables a largo plazo.
2. Desarrollar actividades de recuperación ambiental basadas en las mejores prácticas internacionales. El objetivo será asociarse con organizaciones públicas y privadas (incluyendo ENAMI, Plan Ecuador, gobiernos provinciales y otros) que estén comprometidas en recuperación y desarrollo regional y provean asistencia técnica de vanguardia en remediación. Lo ideal sería que las tierras que se recuperen estén preparadas para procesos productivos sustentables.
3. Desarrollar iniciativas en manejo de conflictos para promover el diálogo y resolución de conflictos relacionados con minería artesanal. Los ofertantes deberán abstenerse de proponer instancias de resolución de conflictos esporádicas; más bien deberán proponer instancias que puedan establecerse y fortalecerse para el manejo, resolución y mitigación de conflictos con financiamiento del Programa de Donaciones para el Desarrollo (DGP).

Definición de área(s) geográficas: Las actividades deberán ser ejecutadas en áreas donde la minería artesanal es extensa, incluyendo el norte de Esmeraldas, sureste de Zamora (Nambija), El Oro y otras.

Actividades ilustrativas

- Involucrar a pequeños mineros y sus familias en actividades económicas alternativas con potencial económico significativo. Los beneficiarios estarán vinculados a cadenas de valor sólidas que estén bien establecidas y que participen en mercados locales y/o internacionales.
- Brindar asesoría a ENAMI, Plan Ecuador y otras instituciones en lo que se refiere a mejores prácticas relacionadas con recuperación de tierras (remediación). Desarrollar dentro del país modelos

vanguardistas de recuperación a través de seminarios, capacitación y asistencia técnica. Traer expertos internacionales y desarrollar programas de intercambios para que los ecuatorianos estén al tanto de las mejores experiencias internacionales en términos de recuperación ambiental.

- Crear unidades de mitigación de conflictos dentro de instituciones públicas y/o privadas en el país. Desarrollar aptitudes en el país en métodos alternativos de resolución de conflictos enfocados en minería. Identificar oportunidades que permitan relacionar a las partes conflictivas y promover el diálogo. Buscar experiencias internacionales y posibles maneras de abordar conflicto de intereses. Dejar esta experiencia en instituciones creadas para el manejo de conflictos, las mismas que deberán ser sólidas técnica y económicamente al final del proyecto.

4. Mitigación de Conflictos y Conciliación

Tipos de Donaciones: Acuerdo Cooperativo

Monto máximo de la donación: Hasta \$2 millones por aplicación

Duración de la donación: Hasta 5 años

Una infraestructura pobre social y económicamente y oportunidades económicas inadecuadas constituyen una amenaza creciente en la región de la frontera norte (RFN). Seiscientos cuarenta mil kilómetros en una frontera porosa con Colombia facilita actividades ilícitas en la frontera. La mayor amenaza en cuanto a seguridad es el tráfico de armas, explosivos, droga, pasta de cocaína y precursores químicos.

La lucha por controlar la región fronteriza, la misma que tiene una alta concentración de poblaciones pobres afro ecuatorianas e indígenas, ha dado como resultado una situación en la que las Fuerzas Armadas Revolucionarias de Colombia (FARC) y otros actores ilícitos buscan controlar puntos estratégicos y erosionar la autoridad gubernamental. Las poblaciones de la frontera por lo general se encuentran en medio de esta lucha de poderes y debido a la escasez de alternativas económicas y la falta de una seguridad mínima para el ciudadano, estas poblaciones son extremadamente vulnerables a imperantes elementos delincuenciales y actividades ilícitas.

El problema generalizado de la pobreza y un alta tasa desempleo entre los ecuatorianos de la frontera norte agrava la vulnerabilidad de este segmento de la población. La falta de oportunidades económicas viables y de servicios sociales básicos los hace particularmente susceptibles a

actividades ilícitas. Los jóvenes y los adultos jóvenes en la RFN, especialmente indígenas y afro ecuatorianos son muchas veces intimidados por las FARC y otros grupos ilegales y finalmente reclutados para trabajar con ellos.

USAID desea financiar un programa para ayudar a estabilizar áreas estratégicas en las provincias fronterizas más volubles logrando atenuar actores claves de conflictos. Son de nuestro interés aquellos programas que provean mejores medios de vida y mitigación de conflictos, así como manejo de destrezas para jóvenes y adultos jóvenes. El propósito es definir áreas geográficas con actividades de desarrollo que contrarresten la falta de oportunidades económicas viables para segmentos marginados y vulnerables de la población local, específicamente en la juventud.

Definición de área(s) geográficas: Las áreas geográficas definidas para esta actividad son las provincias de Esmeraldas y Sucumbíos.

Actividades Ilustrativas:

La siguiente lista de actividades es únicamente ilustrativa, se tomará en cuenta otras ideas innovadoras.

- a. Promover la participación de la juventud en actividades que ofrezcan destrezas en manejo y mitigación de conflictos (MMC). Se ofrecerá capacitación y se buscará establecer grupos comunitarios de jóvenes con el fin de promover un mejor entendimiento y hacerlos menos vulnerables a la influencia y presión de elementos terroristas y delincuenciales. Crear vínculos con concejos locales integrados por jóvenes.
- b. Incrementar las oportunidades de empleo para jóvenes al vincularlos con asociaciones productoras que buscan mejorar la producción local, así como con compañías locales.
- c. Se prevé que sub-convenios serían otorgados a asociaciones que ofrezcan métodos innovadores para desarrollar la capacidad de jóvenes y adultos jóvenes para promover y ejecutar actividades que mitiguen y manejen conflictos a nivel comunitario.

5. Oportunidades económicas

Tipo de donaciones: Acuerdo Cooperativo

Monto máximo de la donación: hasta \$1.5 millones por aplicación

Duración de la donación: hasta 3 años

Una nueva estructural del sector micro financiero se está construyendo en

respuesta a la ley recientemente aprobada “Ley de Economía Popular y Solidaria” (mayo de 2011) y su reglamento de febrero de 2012. Esta estructura consiste en una nueva Superintendencia de Instituciones Micro financieras (IMF), el Instituto Nacional de Economía Popular y Solidaria (IEPS) y la Corporación Micro financiera. En el Ecuador existen más de 2000 IMF y menos de 100 operan bajo la supervisión de la actual Superintendencia de Bancos (SB). Las IMFs no reguladas y no supervisadas representan un serio impedimento para la profundización financiera, desarrollo económico y la integración de productores marginados en la economía formal.

Uno de los mayores desafíos que enfrenta la nueva Superintendencia de IMFs es la falta total de supervisores capacitados. Ninguna de las instituciones académicas en Ecuador ofrece una carrera especializada en regulación y supervisión de micro finanzas y los profesionales de la Superintendencia de Bancos no disponen de tiempo o de conocimientos específicos para capacitar a supervisores de IMF. Hay una necesidad urgente de apoyar a este sector importante a través de la ayuda que se ofrezca a Ecuador para diseñar, buscar financiamiento y poner en marcha un programa académico sostenido que capacite a supervisores competentes de IMF.

USAID desea financiar un programa que capacite a supervisores competentes de instituciones micro financieras (IMFs) mediante el diseño de un plan de estudios y un programa académico sólido que incluya un perfil de docentes y selección de instituciones académicas.

Definición de área(s) geográficas: El programa académico se llevará a cabo en una de las ciudades principales del país; sin embargo, la capacitación de supervisores se la hará en áreas rurales, donde operan actualmente la mayoría de IMFs sin supervisión alguna.

Actividades Ilustrativas:

La siguiente lista de actividades es únicamente ilustrativa, se tomará en cuenta otras ideas innovadoras.

- a. Diseñar un plan de estudios para un programa académico de postgrado y definir los prerrequisitos para los candidatos.
- b. Preparar un presupuesto para los primeros 5 o 6 años para la ejecución del programa que incluya un estimado de costos de matrícula y pensión asequibles. Identificar posibles fuentes de financiamiento y definir responsabilidades.
- c. Evaluar la mejor alternativa en donde se pueda llevar a cabo el presente programa considerando instituciones académicas locales.
- d. Apoyar a la institución académica seleccionada para ejecutar el programa, incluyendo el reclutamiento del personal docente.

6. Fortalecimiento de Capacidades

Tipos de Donación: Acuerdo Cooperativo o Convenio de Costo Fijo (CCF)

Monto Máximo de la Donación: hasta \$1 millón por aplicación

Duración de la Donación: hasta 5 años para un Acuerdo Cooperativo y hasta 3 años para un CCF.

Al momento, USAID está incursionando en una reforma a nivel global conocida como *USAID Hacia el Futuro*. Uno de los objetivos de este emprendimiento es fortalecer las capacidades de organizaciones locales para mejorar su efectividad y sostenibilidad. USAID/Ecuador lleva a cabo este emprendimiento dinámico para fortalecer organizaciones locales como un medio para incluirlas como socias del desarrollo. Esta inclusión ofrecerá múltiples y variados socios para USAID y otros actores que puedan beneficiarse con nuevas ideas e iniciativas. Las organizaciones locales podrían también tener un mejor entendimiento del entorno económico y político nacional y una mayor sensibilidad hacia temas sociales y culturales para lograr un mejor empoderamiento de sus clientes. Como parte de esta iniciativa, USAID/Ecuador busca trabajar conjuntamente con entidades gubernamentales, organizaciones locales de la sociedad civil y el sector privado para fortalecer sus capacidades organizacionales.

Por lo general, las organizaciones se concentran únicamente en sus capacidades técnicas y dejan poco espacio para el crecimiento institucional. Esa brecha no permite que dichas organizaciones estén preparadas para manejar proyectos a gran escala ya que dichos esfuerzos requieren de destrezas tanto a nivel técnico como administrativo. Como resultado, muchas organizaciones carecen de capacidades organizacionales y financieras apropiadas lo que pone en riesgo su sostenibilidad. USAID/Ecuador busca financiar un programa que mejore la capacidad organizacional de instituciones locales seleccionadas, sean gubernamentales o no, a través del fortalecimiento de sus capacidades en áreas relacionadas con administración, manejo de recursos humanos, administración financiera, procesos organizacionales, diseño de programas, planeamiento estratégico y manejo del desempeño, entre otros. Dichas destrezas permitirán que las organizaciones seleccionadas dispongan de un fortalecimiento institucional con el fin de cumplir con su mandato y fomentar el progreso general del Ecuador.

Definición de áreas geográficas: a nivel nacional

Actividades Ilustrativas

La siguiente lista de actividades es únicamente ilustrativa, se tomará en cuenta otras ideas innovadoras.

- a. Implementar herramientas que evalúen aspectos claves de administración en al menos 15 organizaciones seleccionadas. Un instrumento a ser considerado es la Evaluación de Capacidad Organizacional (ECO) de USAID que ayuda a identificar áreas donde se requiere apoyo para el desarrollo de capacidades. La capacidad organizacional incluye, pero no se limita a, gobernanza, administración, recursos humanos, controles internos, contabilidad y administración financiera, planeación estratégica, manejo del desempeño y programas, manejo organizacional y comunicaciones.
- b. Brindar capacitación, asistencia técnica y asesoramiento en las materias arriba mencionadas a las organizaciones seleccionadas con el fin de mejorar su capacidad institucional.
- c. Fortalecer la capacidad de estas organizaciones para desarrollar estrategias efectivas que atraigan nuevas fuentes de financiamiento tales como el sector privado, donantes, entidades gubernamentales, etc.
- d. Desarrollar planes para medir el desempeño y evaluación según los objetivos.
- e. Desarrollar manuales y procedimientos para institucionalizar procesos de organizaciones locales seleccionadas.
- f. Diseñar un programa académico (dirigido por un instructor, a distancia y/o en línea) en manejo y administración de organizaciones locales y evaluar la mejor institución en donde se pueda llevar a cabo el presente programa considerando instituciones académicas locales.
- g.** Desarrollar un sistema que asegure la sostenibilidad del programa académico y accesibilidad por parte de organizaciones que dispongan de recursos limitados.

Country: Georgia

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to DGP-4Georgia@usaid.gov and DGP@usaid.gov

The types of awards: Cooperative Agreement

Maximum size of award: \$1m

Life of the award: up to 4 years

Sector(s) of Focus or Development problem(s) to be addressed:

Goal 1: To support increased economic participation of women

Improvement of microenterprise productivity for disadvantaged women and woman-owned microenterprises

This program aims to accelerate private sector growth by improvement of microenterprise productivity through possible, but not restricted to, development of core entrepreneurial skills necessary for women to find jobs, build new businesses, improve business acumen of existing firms in order to increase women economic opportunities. Activities can focus, but are not limited to, vocational training and technical assistance to enable the beneficiaries to increase their access to markets, promote linkages with larger local firms, and improve their capacity to take advantage of market opportunities. This program area also aims to assist women-owned microenterprises to further develop their human and production capacities by facilitating access to credit and linking micro-enterprises with financial institutions, also providing support to microenterprises engaged in various strategic value chains in order to target interventions throughout Georgia that meet identified target population needs and development objectives. Projects will target women entrepreneurs of micro-, small- and medium-sized companies who are the breadwinners, single mothers, women with family members with disabilities, and women from ethnic minority areas. These activities will improve women engagement in economic, political, and social aspects of Georgian society by increasing their participation in the economic life.

This project would complement the New Economic Opportunity project, the Empower Women of Samegrelo, the Women's Economic Independence in Post-conflict Zone and Remote Regions of Georgia, and the Sustainable Integration of IDPs into Value Creation Chains of the New Settlement Areas and Supporting

Self-Employment of the Most Vulnerable Populations. Key Georgian counterparts would include municipal governments.

Vocational training and support for women-led horticulture businesses

This program may provide women the training in developing business plans and support for nursery development and reforestation services. The centralized nurseries (to service several small villages) would produce fruit trees, native tree species for soil stabilization and reforestation projects, and vegetables to diversify household diets and increase nutrition. Training in reforestation and soil stabilization would allow for other economic opportunities utilizing the trees produced. Since women are primarily responsible for household nutrition and economics, this would directly benefit the entire household. Additional production of compost for home gardens could be produced at the nursery site. This program would complement the ongoing eco-club environmental projects (including reforestation), the National Association of Local Authorities of Georgia Climate Change Adaptation project, and would complement past disaster risk reduction efforts from Caucasus Environmental NGO Network (CENN) in select communities through climate change adaptation efforts. Key Georgian counterparts would include the Ministry of Environment Protection, Ministry of Regional Development and Infrastructure, and local eco-clubs.

Target geographic area(s): While the Mission will consider proposals for any region of Georgia, organizations representing women from ethnic minorities are encouraged to apply.

Illustrative Activities:

The following list of activities is only illustrative - other innovative ideas are welcome.

- 1) Vocational or applied training for female entrepreneurs
- 2) Technical assistance for business planning and improving business practices
- 3) Assistance with access to credit or grant opportunities
- 4) Potential support for development of plant nurseries

Goal 2: To improve reading levels of girls and boys and children with disabilities

Reduce gender-based barriers that affect reading levels of girls and boys

This program area aims to improve reading skills of girls and boys by tackling the gender-related factors that create barriers for the participation of girls and women in the education, by training women teachers and by enhancing the role of women leaders in classroom and school management. It will target girls and

boys, teachers, principals, and communities in rural and ethnic minority areas, where gender disparities have been documented through various studies.

Ensure an adequate supply of age and language-appropriate reading materials in formats made accessible to the disabled

This program area also aims to improve reading skills of children with disabilities in Georgia. The target groups are several thousands of blind and hard-of-hearing children participating in the inclusive or special education schools. By translating the basic reading materials of the mainstream schools using the Braille format and format of Georgian Sign Language, these materials will become available to these specific groups of children with disabilities; thus, they will not be excluded from the current reforms on reading. The program area will also support training activities for teachers of the targeted special and inclusive education schools, as well as for parents of the children with disabilities on using the new materials in school and at home.

Target geographic area(s): Ethnic minority areas, remote high mountain areas, any region with inclusive and/or special education schools.

Illustrative Activities:

The following list of activities is only illustrative - other innovative ideas are welcome.

1. Promote awareness within ethnic minority and other communities on the importance of acquiring reading skills by both girls and boys
2. Support women leaders to participate in school principal training, in leadership training, and in the competition for the positions of school leaders
3. Assist girls and boys to participate equally in the reading improvement activities
4. Work with schools for blind and hard-of-hearing children to introduce and promote the new reading materials
5. Translate new reading materials into the Braille and Sign Language format; publish and distributed these materials to schools and/or students
6. Train teachers of inclusive and special schools in using the translated materials
7. Reach out to parents to engage them in the use of reading materials in the format that is accessible for their children with disabilities.

Country: Honduras

Required format for submission of Concept Papers and Full Application:

Email to tegucigalpainfo@usaid.gov and DGP@usaid.gov

; and

Hard-copy hand-delivered to Mission before 4:00 pm (Tegucigalpa time).

Sectors of Focus: Education & Water/Citizen Security

Education

Language(s) for Concept Papers: English

Language(s) for Full Applications: Spanish, English

The types of awards: Cooperative Agreement

Maximum size of award: \$1,000,000

Life of the award: Up to 5 years

USAID/Honduras would like to develop multipurpose community education centers in communities at risk from gangs and/or drug trafficking and invest in a teacher training program focused on support to at-risk youth. The activity proposes that a community diagnostic be performed, and that a building or buildings be designed or adapted, and executed for multipurpose community educational centers. The center would be used for more than one educational activity by many different community actors, to include secondary education in alliance with the Ministry of Education, parental association/civil society training and meeting space, municipal planning for prevention committees with an educational and community action focus, library, playground/playing field public spaces. A multipurpose building would be well-lit, 24 hours a day/7 days a week with increased security to create a safe-haven.

USAID/Honduras would like the proposal to include engagement with as many actors involved in education as possible including teacher unions, local non-governmental organizations, Municipal Committees for Education and teaching universities in a security-focused teacher induction program to complement and enhance existing university curriculum. This program would focus on targeted training activities for identification of at-risk youth and explore ways to support students requiring additional help in meeting performance standards to increase successful youth performance in school. This training would focus on fostering critical thinking skills, identifying risk factors, and locating resources for students at-risk. The training would focus on teaching life skills such as teamwork, tolerance for others, culture of peace and showing mutual respect.

The proposed program must be aligned within USAID's Education Strategy and aim to contribute to sustained improvements in education quality, efficiency, and equity through strengthened education facilities and human resources. Activities should also complement the Mission's Central America Regional Security Initiative (CARSI) programs for at-risk-youth, increase educational activities in communities affected by gangs and drug-trafficking, and strengthen local capacity by utilizing USAID's partnerships with local non-governmental organizations to advance USAID Forward principles.

Target geographic area(s): USAID/Honduras seeks applications for developing these educational centers in the communities where gang violence and crime rates are rampant (at-risk neighborhoods in San Pedro Sula, La Ceiba, and Tegucigalpa are priority areas).

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

- Perform a community diagnostic so that a building or buildings can be designed or adapted for multipurpose community educational centers
- Constructing and equipping the centers to develop innovative community and educational programs
- Engage with key actors involved in education including teacher unions, local non-governmental organizations, municipal committees for education, and teaching universities to develop areas of coordination and information sharing
- Develop programming that focuses on at-risk youth and helps students grow their academic capabilities and other life skills

Water/Citizen Security

Language(s) for Concept Papers: Spanish or English

Language(s) for Full Applications: Spanish or English

The types of awards: Cooperative Agreement.

Maximum size of award: \$500,000

The applicant will be required to demonstrate a 30% in-kind and/or cash contribution of the total cost of the project. To complement the \$500,000 award to the selected applicant, USAID will award an additional \$500,000 to the Fondo Hondureño de Inversión Social (FHIS). FHIS will provide technical assistance, carry out and oversee the construction of major infrastructure hence contributing to the overall goals of the applicant's project.

Life of the award: Up to 3 years.

Within the Central American Regional Security Initiative (CARSI) framework, USAID/Honduras supports small scale infrastructure through the Projects Executed by the Community (PEC) model. Using the PEC model, communities develop stronger social cohesion and in turn enhance their capacity to address the multiple development challenges that make communities vulnerable to criminal activity and violence. One development challenge that often leads to conflict and/or instability is lack of access to water, which is critical to the development of economic opportunities in small communities. Without access to water, agricultural economies falter and community members look to other, often illicit, sources of income.

USAID/Honduras would like to develop and invest in the quantity and quality of water resources, including purification of water resources, transportation, storage and distribution of water to improve and substantially increase the access to drinking water for the population of Ocotepeque and the area surrounding it. USAID/Honduras is interested in proposals from NGOs, community organizations, or municipal associations. The applicant will be encouraged to partner with the Fondo Hondureño de Inversión Social (FHIS), community groups, and municipal authorities. Through this partnership, the applicant will develop an inclusive approach that empowers citizens and ensures that infrastructure projects meet required specifications.

Geographical guidance

USAID/Honduras seeks applications for improving water quality from main water sources including the Kilios and Cacalguapa rivers for the city of Ocotepeque, Ocotepeque, Honduras.

Mission Goals/Objectives:

USAID/Honduras's CARSI strategy aims to build the capacity of communities to resist and prevent crime and violence. Additionally, communities are empowered to manage and sustain the infrastructure project while addressing the root causes of crime and violence.

Implemented in coordination with FHIS, PEC projects are executed directly by beneficiary communities that also provide non-specialized labor as their contribution to the project.

USAID has targeted its CARSI assistance to communities facing the most immediate threat of violence. Ocotepeque, sitting on the border of El Salvador and Guatemala, has recently suffered a dramatic increase in violence, thought to be connected to its positioning in a major drug trafficking corridor. In 2011, Ocotepeque had a murder rate of 96.8/ 100,000, up from 73.2 in 2010, and significantly higher than the national average of 85.9, which is the highest in the world.

Country: Indonesia

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to ajuico@usaid.gov and DGP@usaid.gov

; and

Hard-copy hand-delivered to Mission before 3pm (Jakarta time) (*please leave with guard*).

The types of awards: Cooperative Agreement.

Minimum size of award: \$1.0m.

Maximum size of award: \$1.5m.

Life of the award: Up to 3 years.

Sector(s) of Focus or Development problem(s) to be addressed:

Water Supply and Sanitation Services for Underserved Populations in Urban Areas

This program area aims to increase both equitable and sustainable access to safe drinking water and sanitation in the targeted areas through the participation and/or collaboration of local entities. The sustainability of technical programming in the improved access to safe drinking water and sanitation to the urban poor should be achieved through the adoption of participatory and open processes (plans, budgets, service delivery) that involve not just the local government agency stakeholders but also the citizens, services providers and the local councils of the municipality.

This program area also aims to build the capacity of individuals and organizations to ensure that both demand mobilization efforts and water and sanitation services improvements are sustained and able to reach the targeted urban poor. The specific categories of assistance targeted under this program are innovative financing mechanisms to fund water and sanitation services improvement at the household level.

Target geographic area(s): While the Mission will consider proposals for any region of Indonesia, preference will be given to activities in the urban areas of North Sumatera, Jakarta, Central Java, East Java and South Sulawesi provinces.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

- 1) Increase community awareness initiatives to create demand for safe water and sanitation.
- 2) Promote development, installation and maintenance of innovative water supply and sanitation systems (e.g. master meter, micro-credit, small-scale sanitation, water & sanitation grants, etc.) at communities, schools, and/or other public institutions.
- 3) Enable small and medium enterprises and other private sector entities in providing affordable communal sanitation facilities and sanitation management services.
- 4) Develop alliances with private business institution(s) support for improving water supply and sanitation services in urban settings through the participation of the private sector Corporate Social Responsibility (CSR) programs.
- 5) Promote creative micro-finance options for households that will allow them to make the necessary household investments in water supply (e.g. pay for connection fees to water utilities) and sanitation (e.g. pay for improved household level sanitation facilities).

Implementation will be coordinated with other USAID water and sanitation programs in Indonesia to achieve synergistic results.

Country: Jamaica

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Only electronic applications will be accepted. Hard copy applications will not be accepted. Email documents to jmrco@usaid.gov and copy DGP@usaid.gov

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: US \$2 million for Cooperative Agreement, US \$1.5 million for FOG.

Life of the award: Up to 3 years for Cooperative Agreements and up to 3 years for FOGs.

Sector(s) of Focus or Development problem(s) to be addressed:

SECTOR 1: CLIMATE CHANGE ADAPTATION

Jamaica's vulnerability to the potential impacts of a changing climate is determined by several aspects: the degree to which Jamaica is exposed to change; how capable individuals and organizations are to adapt effectively to that change; and the extent to which adaptation options may be limited by competing resource pressures and livelihood activities. USAID works with farmers, communities, civil society, and government partners to improve resilience to climate change impacts in rural areas and in the agriculture sector in Jamaica. Through "Farmer Field School" trainings, farmers are equipped with skills needed to adapt to drought and increased precipitation variability through more efficient water use systems in production systems. Moreover, farmers are encouraged, where appropriate, to grow more drought and flood tolerant crops. USAID seeks innovative projects which will create synergies with these ongoing activities. USAID also seeks to work with communities, civil society and government partners to improve adaptation to the increasingly frequent natural disasters associated with global climate change, particularly through projects that promote disaster planning through capacity building and training in disaster risk reduction.

Illustrative Activities: The following list of activities is only illustrative - other innovative ideas are welcome:

- Disaster risk reduction activities in the most vulnerable urban communities.

- Technical assistance and capacity building for stakeholders including implementing partners, beneficiary groups including those impacting policy.
- Innovative climate change adaptation activities that target rural and agricultural areas, or urban communities under the Government of Jamaica's Community Renewal Program.
- Activities that build awareness of global climate change among primary school students, such as early grade reading curricula with a climate change adaptation theme.
- Eco-based adaptation (EBA) strategies to help Jamaica cope with the adverse effects of climate change, especially activities that seek to protect, manage and restore natural ecosystems.

Target geographic area(s): USAID/Jamaica is particularly interested in applications which target the most vulnerable urban and rural areas, including those identified as target areas under the Government of Jamaica's Community Renewal Program.

SECTOR 2: BASIC EDUCATION

USAID/Jamaica seeks to address the impact of persistently low levels of reading performance in the early grades of targeted primary schools. After 50 years of independence, the Jamaican education system continues to turn out illiterate children after six years of primary schooling. To address this problem in a structured manner, USAID seeks to support projects focused on implementing more individualized instruction for students in the early grades who are experiencing extreme difficulties in achieving acceptable reading levels. The education system needs an innovative approach to address this problem at the classroom level and to allow low-performing students to receive individualized instruction in reading.

Illustrative Activities: The following list of activities is only illustrative - other innovative ideas are welcome:

- Activities that increase instructional time for reading or increase teacher training in reading.
- Activities that support appropriate, cost-effective and scalable technologies that have the potential to improve reading or reading system performance.
- Activities that establish school libraries and ensure adequate reading materials
- Activities that improve teaching/learning materials.

- Activities that promote parent and community engagement in children's reading outcomes including through strengthened school management committees.
- Activities that promote improvements in early grade reading, in a way that is synergistic with either the Global Climate Change and/or Civic Participation technical focus areas.

Target geographic area(s): USAID/Jamaica is interested in programs that focus on schools in communities under Government of Jamaica's Community Renewal Program.

SECTOR 3: CIVIC PARTICIPATION

In Jamaica, domestic violence continues to make news headlines on a daily basis. It is generally accepted that domestic violence is only second to gang-based violence as the most prolific type of violence in Jamaica. Further, it is intuitive that violence in the home (which is predominantly related to gender roles) leads to violence in schools and in the wider community. Violence, within homes, schools and communities are among the most pressing social issues currently facing Jamaica. The high rate of gender-based violence, the large number of female-headed households and the culture of aggressive masculinity means that there is a broad consensus among all stakeholders that gender issues are a key concern in the delivery of security and justice in Jamaica. However, few organizations or institutions have developed effective methods of addressing the problem. Even fewer have developed a program of working with perpetrators of violence.

USAID seeks to address gender-based violence in Jamaica, specifically in communities targeted through the Government of Jamaica's Community Renewal Program (CRP). The CRP presents a new framework to harness the capacities of the state, civil society and the donor community to achieve transformation in the most vulnerable and volatile communities. The CRP is not itself a project, but presents a framework for all other projects and strategies to be implemented over its ten year life span. USAID seeks to build on that approach to address domestic and gender-based violence in the most volatile communities in Jamaica.

Illustrative activities. The following list of activities is only illustrative - other innovative ideas are welcome:

- Activities that seek to strengthen the security of women and address the alarming rates of gender-based violence in Jamaica.
- Projects that advance gender justice such as community peace and justice centers that will help increase women's access to justice at the local level.

- Training and capacity building for women to help develop their potential roles as peace-builders in local communities and to increase their employment opportunities.

Target Geographic Areas:

Communities in the Government of Jamaica's Community Renewal Program (CRP) list of most-at-risk communities.

Communities that have been identified for participation in the CRP include:

Kingston and St. Andrew Parish: Allman Town/Woodford Park, Ambrook Lane/Cassia Park, August Town, Brown's Town (Dunkirk), Denham Town, Drewsland, Fletchers Land, Grants Pen/Barbican, Hannah Town, Highlight View, Jones Town, Kencot, Majesty Gardens, Matthew's Lane, Mountain View, Parade Gardens, Rockfort, Rose Town, Tavares Gardens, Tivoli, Tower Hill, Trench Town, Waterhouse, Whitfield Town; **St. Catherine Parish:** Bog Walk (Knollis), Central Village, Dempshire Pen, Shelter Rock, Ellerson Pen, Homestead, Lauriston, March Pen Road, Tawes Pen, Tredeger Park Clarendon Parish: Bucknor/Rectory Lands, Caanan Heights; **St. James Parish:** Canterbury, Flanker, Glendevon, Granville, Mount Salem, North Gully Norwood, Rose Heights/Farm Heights, and Salt Spring.

Country: Kazakhstan

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to chancock@usaid.gov, jborger@usaid.gov, and DGP@usaid.gov

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$2m for Cooperative Agreement, \$1.5m for FOG

Life of the award: Up to 5 years for Cooperative Agreement, Up to 3 years for FOG.

Sector(s) of Focus or Development problem(s) to be addressed:

Microenterprise

Ideal programs would support the start-up and expansion of micro and small enterprises owned and operated by low-income people. The goal of these activities should be to increase the accessibility, availability, relevance, and sustainability of business services, training and extension, inputs, equipment, and technologies that equitably respond to the needs and capacities of female and male-owned micro-scale firms. Further goals could include the improvement of laws, regulations, and policies that limit the availability of business services for women- and men-owned micro and small enterprises. Projects could also help microbusinesses and small-scale producers take advantage of and meet the requirements of higher-value end markets (domestic, regional, or international), usually by partnering with larger scale firms.

Priority will be given to programs that work to expand the Small and Medium Enterprise (SME) base and leverage technical assistance and mentorship opportunities to increase the level of sophistication and competitiveness of the SME population.

Competitive proposals would be designed to interface with the Government of Kazakhstan's (GOK) "Partner Program for SME Development" mono-towns development concept, where SMEs are tied to larger firms primarily in the extractive industry.

Water Supply and Sanitation

USAID/CAR seeks proposals that ensure broadly accessible, reliable and economically-sustainable water and sanitation services for health, security, and/or agriculture. The goals are to increase access to water for use in

households, schools, health facilities, and industrial/commercial facilities through protection of existing water sources; sustainable development of new sources (e.g., well drilling and spring capping); expansion and rehabilitation of water supply infrastructure, (e.g., pumps and distribution systems); and/or community-based approaches to design, construction, operation and maintenance of water infrastructure. Proposals could also include water-efficient agriculture technologies, emphasizing the rational use of water in agriculture.

Country: Kosovo

Language(s) for Concept Papers: Albanian, Serbian, English

Language(s) for Full Applications: Albanian, Serbian, English

Sector(s) of Focus: USAID/Kosovo will accept proposals in the four areas of Energy Efficiency Awareness, Business Advocacy, Private Sector Competitiveness, and Pre-Primary Education. Please note that sectors have different email addresses, award types, maximum sizes, and award lives.

Target geographic area(s): Activities should be national in scope for all sectors of focus.

Energy Efficiency Awareness

Required format for submission of Concept Papers and Full Application:

Email to aspahiu@usaid.gov and eshyti@usaid.gov and DGP@usaid.gov before 8 a.m. Kosovo local time

The types of awards: Cooperative Agreement

Maximum size of award: \$1 million

Life of the award: Up to 2 years

The limited potential for renewables and the urgent need for energy leave the Government of Kosovo little option other than to continue generating electricity using coal lignite. Energy efficiency, by decreasing the demand for energy, has the potential to greatly improve the situation with obvious positive environmental implications. Proposals are requested to design and implement an energy efficiency public awareness campaign using Kosovo Energy Corporation's (KEK) access to over 400,000 customers.

The Energy Efficiency Public Awareness proposal should complement existing programs being implemented by KfW, the European Union and GIZ by using KEK's unique position to support a community-level energy efficiency campaign during a period when customers will be faced with increasing tariffs and therefore more interested in reducing their energy consumption. The program should include a strong component to ensure the inclusion of women and minority communities. The expected result is a decrease in electricity usage for the targeted customer base and downward pressure on the need for additional power generation.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

- 1) Develop and implement a nationwide public awareness campaign on energy efficiency.
- 2) Assist KEK in training its staff in energy efficiency – customer service and field employees who regularly interact with customers while reading and installing meters could be utilized to conduct energy audits to assist customers to reduce electricity consumption.
- 3) Work with USAID-supported “Green Clubs” (see: <http://bep-ks.org/>) and other local youth groups to disseminate the message.

Business Advocacy

Required format for submission of Concept Papers and Full Application:

Email to aspahiu@usaid.gov and farifi@usaid.gov and DGP@usaid.gov before 8 a.m. Kosovo local time.

The types of awards: Fixed Obligation Grant

Maximum size of award: \$1.5 million

Life of the award: Up to 3 years

Sector(s) of Focus or Development problem(s) to be addressed:

Proposals are requested to help achieve sustainable economic reform through private and public sector dialogue and civil society advocacy; and increased economic growth through promotion of Kosovo businesses. The expected results of the program are a vibrant dialogue between private and public sector based on documented sector needs and economic analysis; and increased contacts of Kosovo companies with regional and international businesses.

This award will also assist USAID Kosovo in exploring the potential of utilizing local non-governmental organizations in the future to implement development activities. Proposals that have a clear sustainability plan and explore how this grant will help achieve the overall objective will be most competitive.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

- 1) Production of economic analysis and other business-related information to advance a participatory dialogue on enhancing Kosovo economic development

- 2) Public-private dialogue forums and events with action-oriented outputs
- 3) Business to business events and follow-up
- 4) Assistance in contract negotiation that builds local business capacity to negotiate business deals

Private Sector Competitiveness

Required format for submission of Concept Papers and Full Application:

Email to aspahiu@usaid.gov and farifi@usaid.gov and DGP@usaid.gov before 8 a.m. Kosovo local time on June 4, 2012

The types of awards: Cooperative Agreement

Maximum size of award: \$2 million

Life of the award: Up to 3 years

Proposals are requested to address the issue of low competitiveness of local businesses in Kosovo in order to increase employment and economic growth. The expected results of the program are increased sales by individual companies and increased employment for Kosovo's youth with an appropriate gender balance. The interventions should be carefully structured through cost-share or a competitive process to provide incentives for businesses to reform and sustain their long-term capacity rather than short-term, grant-supported employment. The interventions can be either focused on one specific sector or multiple sectors.

This award will also assist USAID Kosovo in exploring the potential of utilizing local non-governmental organizations to implement development activities in the future. Proposals that have a clear sustainability plan and explore how this grant will help achieve the overall objective will be most competitive.

Target geographic area(s): While the Mission will consider proposals for any region of Kosovo, preference will be given to activities with a national focus that enhance integration of the different ethnic groups in Kosovo.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

- 1) Business expansion planning and improvements
- 2) Production analysis and improvements
- 3) Facilitation of inputs
- 4) Marketing analysis and assistance
- 5) International certification of products or services or staff

6) Training and Internships for jobs

Pre-Primary Education

Required format for submission of Concept Papers and Full Application:

Email to aspahiu@usaid.gov and amustafa@usaid.gov and DGP@usaid.gov before 8 a.m. Kosovo local time.

The types of awards: Cooperative Agreement

Maximum size of award: \$2 million

Life of the award: Up to 4 years

Proposals are requested to improve the quality of pre-primary education in Kosovo by providing technical assistance to the Ministry of Education Science and Technology (MEST) Pre-Primary Education Department to increase its capacity to regulate and guide public and private Pre-Primary education providers and to develop related public private partnership (PPP) initiatives. This activity would leverage and complement the activities of the USAID Young Entrepreneurs Program (YEP) that work in this sector. For additional information on YEP please see: <http://www.usaidyep.org/> The expected results of the program are improved MEST capacity to serve the Pre Primary Education Sector; and an increased number of PPPs in the Pre-Primary Education Sector.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

- Technical Assistance to develop the MEST Pre-Primary Education Department capacity to regulate and guide the sector
- Establish PPPs between public and private Pre-Primary Education providers
- Technical Assistance to MEST to develop and manage PPPs
- Create materials for MEST and Pre-Primary Education providers to increase the quality of preprimary education
- Assistance in providing teacher, and management trainings to Pre-Primary Education providers

Country: Macedonia

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to rricliev@usaid.gov and DGP@usaid.gov

The types of awards: Cooperative Agreement

Maximum size of award: \$2m for Cooperative Agreement

Life of the award: Up to 3 years for Cooperative Agreement

Sector(s) of Focus or Development problem(s) to be addressed:

USAID/Macedonia will accept proposals in three areas: democracy and governance, education, and economic growth.

Democracy and Governance

This program area aims to support authentic civil society organizations in the areas of human rights and public advocacy. Responses that offer innovative approaches to stimulating civic activism, engaging with the government on substantive issues, and civic monitoring and oversight are particularly welcome.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

1. Support research-based advocacy and lobbying;
2. Expand public knowledge of policy options through research based-analysis, public debate and media;
3. Organize local awareness/public hearing/action campaigns around pressing social issues;
4. Generate civic activism, build constituencies, provide information, or share best practices using IT, websites, conventional media and social networking;
5. Support innovative use of social media to promote media issues; generate responsible, issues-based journalism; or to publicize media freedom violations; and
6. Develop a web-based platform to monitor media content.

Education

This program area aims to increase capacity for assessment of early grade reading and numeracy skills of students while building the technical capacity of local service providers. The measurement of learning outcomes and

education data are necessary to support decision-making, incentives, transparency, and accountability needed to improve reading and numeracy. A lack of quality data on student learning hinders the development and implementation of effective educational policies and supportive classroom/school-level/community action. The potential impact of data on student learning has been very visible over the past few years, with the development and use of easy-to-use assessments such as the USAID-supported Early Grade Reading Assessment (EGRA) and Early Grade Math Assessment (EGMA) and Pratham's Annual Status of Education Report (ASER). Such assessments have helped to create widespread awareness of student learning levels and efforts to improve learning in reading and math. This program area also aims to build the leadership capacity of teachers to be a driving force for quality education reforms that start in the classroom, specifically for reforms that will help to improve learning outcomes in early-grade reading and math.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

1. Implement simple approaches, such as the EGRA, EGMA, or ASER, to allow school and local level managers to prioritize, collect, analyze and use key education-related data at the school level to improve instruction and learning outcomes;
2. Consolidate and analyze disparate sources of education data at the local, regional, and national level and widely disseminate education-related data in easy-to-understand ways to a variety of audiences;
3. Build the capacity of teachers and education officials to conduct efficient student assessments and teacher evaluations;
4. Empower teachers to engage in innovative activities to promote better learning outcomes in students, such as developing teacher-champions who will lead changes in their schools;
5. Foster parent and community involvement in children's reading; and
6. Leverage existing learning resource such as community libraries, digital libraries, and other learning platforms to promote more involvement in children's reading and provide primary schools with additional reading resources.

Economic Growth

By focusing on private sector competitiveness, local economic development, and social entrepreneurship, this program area aims to strengthen key capacities of a growing pool of Small and Medium Enterprises (SMEs) to drive economic growth and create new jobs.

Private Sector Competitiveness/Local Industry Upgrading: Opportunities in domestic markets are limited due to Macedonia's small size and population. Economic growth and job creation depend significantly on SMEs' abilities to expand into external markets or to become suppliers to larger enterprises. Many companies, however, are ill-equipped to compete internationally, lacking the technology, innovation, international standards and certifications, financing, sufficient training, technical expertise, export know-how, and connections to external markets. USAID aims to support the development, expansion, and sustainability of public and private institutions focused on providing specialized services to SMEs to significantly improve private sector productivity and competitiveness. The provision of this assistance must be geared toward creating new or upgrading existing local industry and must be coordinated with the Government of Macedonia at national and local levels. Further, USAID is looking to support mechanisms for effective public-private dialogue for policy analysis and reform, with local and national government institutions, that will lead to improvements in policies, processes, and procedures that currently impede business development.

Local Economic Development (LED): USAID is looking for creative ways to support more balanced regional economic development throughout Macedonia by supporting LED in different regions of the country. LED initiatives could include local NGOs identifying specific market opportunities in their respective regions and working with local government institutions, academia, and the private sector to implement joint activities that support business development in new and existing SMEs.

Social Entrepreneurship: USAID is also looking for opportunities to support the development of social entrepreneurship in Macedonia to address market failures. Social entrepreneurship uses entrepreneurial skills to solve critical social and economic problems that are not being addressed by government or the private sector. Issues commonly addressed include poverty and exclusion, inequality, microfinance, environmental protection, agricultural development and services, especially promoting organic agriculture, irrigation and water systems, renewable/clean technology, women's empowerment, and others. Social enterprises generate enough income to cover their operations and reinvest revenues in the enterprise to expand operations and achieve greater developmental impact. As a result, social enterprises can be far more sustainable than traditional development models.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome.

1. Introduce international standards and certifications;

2. Provide support for technology transfer and innovation to increase the efficiency of production processes or introduce new products on the market;
3. Provide access to innovative and affordable sources of finance;
4. Support export and market linkages;
5. Improve workforce development;
6. Implement Public Private Dialogue initiatives; and
7. Promotion of social entrepreneurship and creation of social enterprises.

Target geographic area(s): The Mission will consider proposals for any region of Macedonia.

Country: Madagascar

Language(s) for Concept Papers: English and/or French

Language(s) for Full Applications: English and/or French

Required format for submission of Concept Papers and Full Application:

Email to disaak@usaid.gov and DGP@usaid.gov

; and

Hard-copy hand-delivered to the USAID/Madagascar Mission located at the U.S. Embassy, Lot 207 A, Point Liberty, Andranoro, Antehiroka, Antananarivo, Madagascar before 1:30pm Madagascar/local time on *due date* (please call Vololona Rabemanantsoa Ext. 2625 from the main entrance/security checkpoint)

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$2m for Cooperative Agreement, \$1.5m for FOG

Life of the award: Up to 5 years for Cooperative Agreement; up to 3 years for FOG

Sector(s) of Focus or Development problem(s) to be addressed:

Water Supply and Sanitation- Madagascar faces significant deficits in potable water supply and improved sanitation for its nearly 20 million inhabitants and is not on track to meet the Millennium Development Goals related to access to improved water and sanitation. According to the 2008-2009 Demographic Health Survey, 58% of the population does not have access to safe drinking water, and nearly one in two households live without sanitation facilities. Diarrheal disease resulting from contaminated water supply and poor hygiene and sanitation is the primary cause of mortality and morbidity among children under five. The following sub-sectors within Water Supply and Sanitation are eligible for funding under this RFA.

Safe Water Access

Increase access to water of appropriate quantity and quality for use in households, schools, health facilities, and industrial/commercial facilities through protection of existing water sources, sustainable development of new sources (e.g., well drilling and spring capping); expansion and rehabilitation of water supply infrastructure, such as pumps and distribution systems; implementation of appropriate community-based approaches to design, construction, operation and maintenance.

Basic Sanitation

Increase access to and use of sanitation services for safe human waste disposal to protect human health and environmental quality. Support effective approaches

to building demand for sanitation-related products and services and test innovative, low-cost approaches which show promise of effectiveness. Facilitate private sector participation in providing sanitation products and services. Where applicable, promote sustainable solutions for wastewater treatment and reuse.

Sustainable Financing for Water and Sanitation Services

Increase mobilization of domestic public and private sector financing for water and sanitation sector development and increased access to services. Develop financially sustainable options for wastewater treatment.

Target geographic area(s): While the Mission will consider proposals for any region of Madagascar, preference will be given to activities targeting areas with high diarrhea incidence that are complementary to other USAID-supported Primary Health Care projects.

Illustrative Activities: The following activities are illustrative - other innovative ideas are welcome.

1. Community-Led Total Sanitation (CLTS) approach based on community participation to address household hygiene and sanitation needs with the goal of ending open defecation.
2. Fee-for-use toilets, shower and water supply facilities or “*blocs sanitaires*”.
3. Innovative and sustainable approaches for the hygienic removal and disposal of fecal sludge.
4. Private sector engagement to increase uptake of sanitation hardware and safe water consumption including filters and point-of-use water chlorination.
5. Innovative approaches that engage and motivate Community Health Volunteers especially with expansion and use of sanitation hardware.
6. Organizational development and management, savings and credit, and good governance related as they relate to water and sanitation.

Note: *Until further notice, USAID and its partners (contractors and grantees) are restricted from working with the Government of Madagascar. Applicants are advised to consult with the Mission regarding any and all restrictions and their relevance to allowable programming.*

Country: Mali

Language(s) for Concept Papers: French, English

Language(s) for Full Applications: French, English

Required format for submission of Concept Papers and Full Application:

Email to bamakoao@usaid.gov and DGP@usaid.gov ;

and

Hard-copy hand-delivered envelopes with the name and address of the applicant inscribed thereon, to USAID/Mali, Acquisition and Assistance Office, ACI 2000, rue 243, porte 297. Envelops must be delivered at Mission Main CAC entrance before 3:00 pm Mali local time.

Hard copies may alternatively be mailed to: Mr. Michael Rossman, Contracting and Agreement Officer, USAID/Mali, A&A Office, P.O. Box 34, Bamako, Mali.

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$1m for Cooperative Agreement, \$0.5m for FOG

Life of the award: Up to 3 years for Cooperative Agreement; Up to 2 years for FOG.

Sector(s) of Focus or Development problem(s) to be addressed:

Basic Education

USAID/Mali would like to support programs which increase reading and writing skills of Malian children in primary grades. Programs should focus on early grade reading improvement as the foundation for future learning, and supports Mali's national strategy to educate children in national languages in the early grades of basic education.

Programs should explore innovative and cost effective ways to: 1) improve teaching and learning in the classroom; 2) increase the number of appropriate learning materials available; and 3) strengthen classroom and school management while improving performance monitoring and school accountability.

Target geographic area(s): While the Mission will consider proposals for any region of Mali, preference will be given to activities which focus on areas where the Ministry of Education and National Languages is piloting its new curriculum initiative and where synergies can be built with other USAID/Mali activities.

Illustrative Activities

The following list of activities is only illustrative - other innovative ideas are welcome:

1. Develop and implement school-based reading improvement programs.
2. Strengthen performance monitoring and teachers support and supervision.
3. Promote parental and community engagement in children reading outcomes through strengthened management committees.
4. Provide information to, and explore community feedback on, the Ministry of Education's new curriculum initiative that emphasizes local language instruction before subsequent transition to French.
5. Design and ensure adequate supply of level and language appropriate reading materials (including textbooks and storybooks); support and monitor the teachers and students use of reading material in school and at home.

Country: Mongolia

Languages for Concept Papers: English

Languages for Full Applications: English

Required format for submission of concept papers and full applications:

Email to lnarmandal@usaid.gov and DGP@usaid.gov by 1700h local time

Types of awards: Fixed Obligation Grant

Maximum size of award: \$1.5 million USD

Life of the award: 2 years

Sectors of focus or development problem to be addressed:

Mongolia is a landlocked country bordered by Russia and China. The Mongolian economy and, in fact, Mongolian culture are based on a centuries old nomadic and agrarian lifestyle. With the discovery of strategic mineral deposits, the economy is poised to become increasingly reliant on capital intensive extractive industries to drive growth. Mongolia wishes to avoid the perils of other economies driven by resource extraction (including Dutch disease) by: 1) Addressing the wealth disparity between rural and urban populations that is emerging along with a new and disturbing division between rich and poor; and 2) further diversifying the economy in areas where Mongolia has a comparative advantage, such as dairy and meat production. In addition, civil society groups, including the media, are increasingly aware of the threat that unregulated resource extraction poses to the natural environment and those whose livelihoods depend upon it. There is an increasing realization that the government's desire for increased mining and the revenues it brings must be balanced with local and environmental interests.

Managing environmental impacts associated with mining and rapid urbanization, including severe pollution and poor energy efficiency, and improving management of rural pasture land, biodiversity, and water supply will be important for sustaining inclusive growth. In addition, Mongolia's fragile ecosystems, especially near the northern border with Russian Siberia, the Eastern steppes bordering Russia and China and the Gobi Desert, are vulnerable to global climate change. Mongolia's already extreme weather has become increasingly so in recent years with two successive cold waves (dzuds) that led to massive die-offs of livestock and loss of livelihoods for thousands of herders. Thawing of the permafrost layer in the north and desertification in the east and south threaten traditional livelihoods as well as biodiversity. The impact of both climate change and mining is concentrated in these areas of the country.

USAID/Mongolia seeks concept papers from non-governmental organizations for projects designed to mitigate the impact of mining and/or global climate change with emphasis on improving livelihood of marginalized groups, including in agriculture, dairy farming and herding sectors. Only organizations with prior experience working on Climate Change/Microenterprises in local communities will be considered. Proposals that combine global climate change or biodiversity conservation elements with microenterprise development or income generation activities are particularly welcome.

Illustrative activities:

The following list of activities is illustrative only. Other innovative proposals are welcome.

1. Promotion of value-added activities and diversification of income sources for farmers and herders in affected areas.
2. Formation of cooperatives or non-governmental organizations to advocate for protection of unique ecosystems and/or the livelihoods of those who depend upon them.
3. Community-based natural resource management, including forest, wildlife or pasture management.
4. Development of alternative livelihoods for people living in or near protected areas.
5. Promotion of environmentally sound mining practices and/or recovery of mined lands.
6. Promotion of agricultural and herding practices that foster mitigation of or adaptation to climate change.
7. Environmentally sound management of protected areas.

Target geographic areas: While the Mission will entertain proposals from any region of Mongolia, preference will be given to activities which focus on the northern aimags, the eastern steppe or the Gobi region.

Country: Mozambique

Language(s) for Concept Papers: Portuguese or English
Language(s) for Full Applications: Portuguese or English⁸

Required format for submission of Concept Papers and Full Application:

Email to DGPAPS-Maputo@usaid.gov, and DGP@usaid.gov

or

Hard-copy hand-delivered to USAID/Mozambique (JAT Complex, Rua 1231, No. 41, Maputo, Mozambique) before 5pm Mozambique/local time. Please address an un-sealed envelope (the guards will need to inspect the contents) to the “USAID/Mozambique Office of Acquisition and Assistance, Attention DGP”. Upon arrival, please ask the guard to call Faizalett Sultan and she will come and retrieve it.

The types of awards: Cooperative Agreements, Grants, or Fixed Obligation Grants (FOG) to support activities in the *Private Sector Competitiveness* and *Primary School Retention and Completion, and Transition to Secondary School for Vulnerable Girls* areas.

Private Sector Competitiveness

Maximum size of award: \$2 million

Life of the award: Up to four years for cooperative agreement or three years if a FOG

Activities in this area aim to improve the competitiveness of key economic sectors by developing a more market-friendly business environment for broad-based economic growth through strengthening the capacity of business associations to undertake policy dialogue and economic reform.

The private sector not only has the greatest awareness of constraints to trade and investment, it also is most affected by inappropriate or inadequate policies, and by policy reforms. As a result, it is essential that the private sector have a proactive, effective role in recommending, pursuing and monitoring policy reforms. This is best accomplished through business associations and federations that aggregate the concerns of business with capacity to articulate and promote a pro-business agenda. However, very few associations in Mozambique have the capacity to participate effectively in the policy dialogue or to deliver demand-driven support services and advocate for the interests of their members. This creates vicious circles: if members see little value, they are reluctant to contribute, and the associations therefore remain weak to provide useful services to members.

⁸ Please note that the winning application(s) will need to be translated into English before award.

New partners funded under this area should have a record of advocating for policy reforms affecting the competitiveness of the private sector, have a good relationship with the Government of Mozambique, and have a demonstrated ability to provide services to members (training, ombudsman, networking opportunities, seminars, market information and other business development services). The selected partner(s), which will serve as an intermediary organization, will identify partner associations and work with them to improve their organizational governance, strengthen their management capacity and ensure their long-term viability by developing services that members will value.

The purpose of this program is to strengthen a wide range and large number of associations so that they can promote an improved business enabling environment through advocacy as well as provide useful services to their members. The contractor should propose activities that work with selected associations to provide technical and financial assistance in one or more of the following areas. **The Grants Program mentioned below is a mandatory requirement**, and must be included in concept papers/full applications.

- **Management Assistance:** Many associations lack simple management and marketing capacity, including how to structure a board, keep financial records, disseminate information, report on activities, and decide on services to be offered. Therefore, the contractor may provide assistance in how to run an association more effectively, which should include membership surveys about desired services as part of the basic assistance package. A detailed management manual may be developed to help these associations.
- **Service Assistance:** Once associations determine what their members want, they may not actually know how or be able to provide it. This activity may assist selected associations to develop or utilize existing training materials, or hire service providers, to offer their members various business development services.
- **Advocacy Assistance:** This activity may train the associations in how to work with the media to get their advocacy messages to a wider audience, as well as how to communicate more effectively with their members.
- **Twinning Assistance:** The program may support twinning arrangements between newly emerging and successfully associations, particularly association in SADC region. As local Mozambican associations develop their capacity and demonstrate success, they will become mentors.
- **Grants Program:** The contractor will design a grants program to fund activities carried out by the associations that already have mature capabilities and to offer associations who initially received technical assistance under this activity to graduate to grants program as they

develop internal capacity. Grants funds will be used for a variety of policy reforms initiatives and institutional strengthening capabilities.

Target geographic area(s): National

Primary School Retention and Completion, and Transition to Secondary School for Vulnerable Girls

Maximum size of award: \$1.2 million

Life of the award: Up to four years for cooperative agreement or three years if a FOG

Programs in this area aim to reduce the socio-economic barriers to upper primary school retention and success. The program also envisions that such support in upper primary school will reduce barriers and increase transition rates from upper primary school to lower secondary school for vulnerable girls. The program will be accomplished through the provision of community block grants⁹ to improve overall school quality and access for vulnerable girls to upper primary school as measured by primary school completion rates, reading achievement scores, and transition to secondary school rates.

Summary Analysis of Barriers to equitable access to education for Girls' in Mozambique: Mozambique is a male-dominated society which places emphasis on men as breadwinners and women as homemakers. Parents, often with little or no education themselves, may not see the importance of educating their daughters. In addition, recent studies have found that schools are potentially dangerous places for girls. In Mozambique, 52 percent of girls and 43 percent of boys report that boys sexually harass girls at school, and 22 percent of both boys and girls report that teachers try to seduce students (Ministry of Health, 2010). Aikman's (2005) research highlighted "widespread" harassment of adolescent women and girls in school ranging from verbal and sexual abuse to demanding

⁹ *Block Grants* are the use of in-kind goods and services as a substitute for cash payments that cover the costs of school fees and requirements for vulnerable girls completing upper primary school and transitioning to secondary school. The main goal of block grants is to provide schools with resources needed to sustain increased enrolment of vulnerable girls and support for academic success while building the capacity of teachers through training in life skills. The Block grants approach is an innovative approach that emerged in response to the difficulties associated with direct payment of individual secondary school fees. Under this approach, schools are provided with school materials. In exchange, the schools admit a predetermined number of vulnerable girls who pay reduced school fees in small installments for a year. The school's materials provided under the block grants approach include such items as science laboratory equipment and chemicals, text books for teachers and students reference, Furniture (Chairs/ Twin desks, beds), installation of solar energy (electricity) in classes, rehabilitation of classrooms, rain water harvesting plastic tanks, latrines separated for girls and boys, generators for lighting in the school, and so forth.

sex for grades. The study finds that such factors often lead girls to risky behavior or to drop out of school.

Women and girls in Mozambique face a number of barriers that impact their potential to contribute to social stability and economic development of the country. Mozambique has one of the highest rates of child marriage in the world (UNICEF 2011; see also, Otoo-Oyortey and Sonita Pobi, 2003). Eighteen percent of Mozambican girls aged 20-24 are married before the age of 15, and 51 percent before the age of 18. The average age at first marriage among girls varies from 16 years in Nampula to 20 in Maputo City. Furthermore, literacy, which contributes to empowerment and increased employment prospects, is low among young women: Only 47 percent of women aged 15-24 are literate. The rates are higher among those in urban areas (70 percent) than rural (31 percent) (Instituto Nacional De Estatistica, 2009). Young women also have high fertility rates. Almost two thirds (62 percent) of 19 year-old girls have ever been pregnant (National Institute of Statistics, 2001). This not only impacts their health and the health of their children, but also impacts long term education and employment prospects.

Violence against women is common in Mozambique; a recent study found that 54 percent of interviewed women had been subject to physical or sexual violence in their lives (UNIFEM, 2009). Violence is not only common, but is accepted, even among young people. Thirty-eight percent of adolescents (15-19) believe a husband is justified in beating his wife if she neglects the children. The percentage is higher among those without an education (40 percent) as opposed to those with a secondary or higher education (26 percent).

The human trafficking of girls and adolescent women remains a concern in Mozambique, which is both a country of origin and transit for human trafficking (UNESCO, 2006). While it is difficult to know for sure the exact number of Mozambicans trafficked each year, it is known that South Africa is increasingly emerging as a destination country in the trafficking of children for sexual exploitation and forced labor. Many of those trafficked come from Mozambique (UNESCO, 2006).

Enhanced levels of education, particularly among girls, has been seen as one of the main strategies for social stability and poverty reduction in Mozambique, and is based on the assumption that higher levels of literacy and numeracy will ease access to employment and improve well-being in family households. Increased levels of education also contributes to a better understanding of one's human rights, a key to reducing gender inequities and improving social conditions. There have been considerable advances in primary school attendance among girls in the past few years, leading to an attendance rate nearly equal to that of boys. Unfortunately, the focus on access has not been accompanied by progress in quality, equitable completion of primary school, and equitable transition to secondary school.

Although girls' enrollment rates are nearly equal to those of boys, there is still a gap in primary school and secondary school completion rates. According to 2008 data collected by MINED, only 73 percent of girls complete lower primary school (grades 1- 5), compared to 85 percent for boys. In Zambezia and Nampula provinces, the gross upper primary school completion rate for girls was 28 percent for both provinces, well below the national average of 48 percent. And secondary school completion rates are problematic in terms of gender equality. Currently only 1.6 percent of girls in Zambezia and 4.5 percent of girls in Nampula provinces graduate from upper secondary school.

Activities in this program should increase community capacity to coordinate and provide education support for the academic success of vulnerable girls, provide life skills training, and psychosocial support to girls to complete primary school and to make the transition to secondary school.

Expected benefits/positive outcomes

- Vulnerable girls who are academically capable, but unable to pay the indirect costs associated with primary school completion, supported to have an academically successful completion of primary school and transition to secondary school.
- Resource exchange increases academic success of primary school and transition to secondary school for vulnerable girls.
- Reduction in the upper primary school drop-out rate of vulnerable girls who are at a risk of dropping out due to the socio-economic situation.
- Academic performance for all students especially in the math-science subjects improves due to Quality inputs.
- Schools are able to access quality inputs they would not have been able to otherwise.
- Overall enrolment and success in schools increased as value added facilities attract more fee paying children.
- The district leadership, PTA members, and the community values the resource exchange support.

Target geographic area(s): Nampula and/or Zambezia

Country: Nepal

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to lkentro@usaid.gov and DGP@usaid.gov

; and

Hard-copy hand-delivered to Mission before 5pm Nepal time. Please leave at the main gate delivery window addressed to Development Grants Program.

The types of awards: Cooperative Agreement

Maximum size of award: \$2m

Life of the award: 5 years

Sector(s) of Focus or Development problem(s) to be addressed:

Water Supply and Sanitation

This program aims to strengthen government and community partnership to improve local water supply and sanitation and hygiene behaviors in marginalized communities with technical and governance assistance.

The sustainability of new or rehabilitated local water supply schemes will be achieved following the mandates and strategies of the Regional, District and Village Water Supply and Sanitation Coordinating Committees. Criteria for scheme selection will be elaborated in collaboration with the Regional Water Supply and Sanitation Office, to include inclusiveness, local participation, accountability for construction standards, water conflict mitigation as needed, fee system for maintenance, and adaptation measures to address water scarcity trends related to climate change. Water supply schemes can be designed to include productive uses as per local demand and to the extent that they are supportive of the main drinking water purpose.

This program aims to enhance coverage of the sanitation movement through further systematization of the training sub-set of the National Sanitation and Hygiene Masterplan. This will be achieved in harmonization with existing national and regional WASH stakeholders and in collaboration with relevant regional, district and local government bodies. Existing training packages for facilitators for community-led total sanitation will be refined to incorporate DWSSO extension workers and personnel from WASH-related line agencies, as well as local volunteers and NGO staff. This program will evidence a shift from project approach to an integrated program for public private partnership in attaining regional WASH goals.

This project will incorporate capacity building in two ways:

- For NGO implementing partner – broaden and deepen organizational capacity to contribute to regional plans while responding to local needs
- With GON – enhance government capacity to proactively lead the WASH sector at regional and district levels and integrate donor supported NGO-led projects into regional and district planning, supervision and monitoring

Target geographic area(s): The Mission is interested in proposals for the Far Western Region, with specific district(s) to be mutually selected with Mission later.

Illustrative Activities

- 1) Build regional water supply and sanitation office capacity to:
 - a. Design and apply processes to track trends in water availability and climate change
 - b. Elaborate best governance practices for local cost sharing, monitoring of construction practices, preventing or resolving water conflict, and maintaining water systems
 - c. Refine national community-led total sanitation training package for regional application for joint government and NGO worker and volunteers participants
- 2) Build regional health office capacity to design and roll-out complementary training components for:
 - a. Sanitation and hygiene promotion to be implemented by facility-based health workers
 - b. Menstrual hygiene awareness
- 3) Promote government, NGO and volunteer involvement in campaign for household, school, and health post WASH improvements
- 4) Celebrate local Open Defecation Free achievements
- 5) Engage NGO management, board and staff in organizational capacity development

Country: Nicaragua

Language(s) for Concept Papers: Will be accepted in English or Spanish.

Language(s) for Full Applications: Will be accepted in English or Spanish.

Required format for submission of Concept Papers and Full Application:

Email to rjimenez@usaid.gov with a copy to DGP@usaid.gov before 5pm Managua time.

DGP Sector: Democracy and Governance

The type of award: One Cooperative Agreement.

Maximum size of award: \$2 million.

Life of the award: Up to 5 years.

This program would support key civil society organizations (CSOs) working to promote good governance through sub grants managed by a local development grants program award recipient. Sub grants are intended to support advocacy campaigns, promote public policy dialogue, and demand accountability of public resources. The DGP grantee would be responsible for devising a methodology for determining sub-grant recipients, administering the sub-grants and providing technical assistance to sub-grantee, as appropriate.

Sub awards would fund organizations to work either (1) on a specific issue aimed at solving an explicit problem related to democracy and governance activities or (2) to advocate for reform of government institutions or practices more generally (e.g., greater protection of human rights, freedom of the press, and freedom of association).

Under this program, Nicaraguan CSOs would be able to form and leverage lasting relationships with each other. Whether the CSO mission deals with governance or policy issues related to health, trade, natural resource management, or democracy, CSOs should be strengthened to: (1) represent the interests of members and citizens; (2) articulate citizen interests to decision-makers; (3) influence policy decisions based on represented interests; and (4) exercise oversight to ensure government and citizen compliance with resulting legislation.

Additional technical support may be available to the local grants recipient, and to CSOs that receive sub grants, to improve grant administration and implementation from a separate Mission program or set-aside fund covering human and institutional capacity development services. However, limited institutional strengthening support could be included in individual sub-grants if it

is determined that such support is critical to the achievement of the programmatic objectives of the sub grant.

Target geographic area(s): National (the majority of sub-grant recipients are based in Managua).

Illustrative Activity:

- Provide sub-grants to civil society organizations to implement advocacy campaigns and public policy dialogues.

DGP Sector: Basic Education

The types of awards: One Cooperative Agreement.

Maximum size of award: \$1 million for Cooperative Agreement.

Life of the award: Up to 5 years for Cooperative Agreement.

USAID/Nicaragua's Basic Education Program plans to utilize media campaigns to increase public awareness regarding the importance of reading and increasing access to educational opportunities for at-risk children and youth in targeted municipalities along Nicaragua's Caribbean Coast, where education and security statistics are far worse than national averages.

In order to foster communities in which children and youth can thrive, key stakeholders -- including teachers, school officials, religious and other local leaders, the private sector, police, local government officials, parents, youth and other community members -- must be more aware of efforts to develop local solutions to educational challenges. To increase engagement, stakeholders must be conscious of how literacy affects people's lives and how a safe learning environment is critical to a child's success in school. Media campaigns would be tailored to reach multiethnic and multilingual audiences, including but not limited to indigenous and afro-descendant populations.

Local media outlets understand local, regional and intercultural dynamics. Consequently, they are uniquely placed to develop and disseminate messages that can educate a wide variety of stakeholders, including the private sector and civil society, to build awareness about local educational problems.

In addition, USAID/Nicaragua is committed to supporting independent media to maintain an open space for information sharing and public debate. Therefore, this activity will contribute both to democracy and governance objectives of supporting independent media and to education objectives of increasing

community awareness of the educational issues facing youth on the Caribbean Coast.

Target geographic area(s): Caribbean Coast of Nicaragua.

Illustrative Activities

- Implement coordinated print, radio and TV media campaigns to increase public awareness about the importance of reading and creating a safe learning environment for children and youth
- Disseminate information on educational policies through print media and radio campaigns

Country: Nigeria

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to kbrown@usaid.gov, nmfune@usaid.gov, and DGP@usaid.gov

and

a hard copy should be hand-delivered to USAID/Nigeria before 4:30 p.m. local time (*please leave with guard*)

The types of awards: Cooperative Agreement or Fixed Obligation Grants (FOG)

Maximum size of award: \$2m for Cooperative Agreement, \$1.5m for FOG

Life of the award: Up to 5 years for a Cooperative Agreement and up to 3 years for a FOG.

Sector(s) of Focus or Development problem(s) to be addressed: Basic Education, Water Supply, Sanitation and Hygiene, and Microenterprise

Basic Education

USAID/Nigeria is focusing all new education activities in support of increasing reading skills of young learners, in line with Goals 1 and 3 of the current USAID Education Strategy. A recent reading assessment in Sokoto and Bauchi states indicated that not more than 5% of students in formal education settings can read with reasonable comprehension. A 2010 national household survey indicated that 53% of children cannot read at all. Activities will be implemented through the existing education management structure in the states and local governments and build upon past activities that promoted accountability and informed resource management processes in the education sector. The aim is to improve the reading skills of some 10 million young learners in formal and non-formal education settings, and improve teachers' ability to teach reading skills to young learners, in North Western Nigeria. The Basic Education Program will target public, non-formal, Islamiyya, and Qur'anic schools by strengthening the quality of reading instruction and introducing reading in the Qur'anic schools, ensuring that all northern Nigerian students have access to high-quality, basic education.

Water, Sanitation, and Hygiene

To improve water and sanitation facilities and disseminate best hygiene practices for households, communities, schools, and clinics, assistance will support water, sanitation, and hygiene (WASH) activities in the local government areas of Bauchi and Sokoto states. Through partnerships with the public and private sectors, WASH activities will build individual, community, institutional, and sector capacity to plan, finance, build, operate, maintain, monitor, and evaluate

sustainable services. Activities will contribute to increasing the number of rural communities benefitting from improved water and sanitation facilities by constructing or rehabilitating water supply facilities, latrines, urinal compartments, and hand-washing facilities. Communities will receive training about appropriate hygiene practices and support to establish strong local water, environment, and sanitation committees. To maximize the impact of assistance, WASH activities should be coordinated with nutrition and agriculture production activities. Because of their important societal roles as small farmers, teachers, health workers, and mothers, women's participation will be strongly encouraged at the core of all water supply, sanitation, and hygiene interventions.

Microenterprise

This program aims to address long-standing issues that have negatively affected small and medium sized enterprises. U.S.-supported trade, agricultural value chains and clean energy development projects will address these issues, specifically targeting women, low-income, and marginalized populations. Assistance will support development by facilitating linkages between microenterprises and larger firms, and strengthening microenterprise participation in the value chain. Additionally, projects will provide direct technical assistance to promote various forms of value chain upgrades, expand access to appropriate finance and other supporting services, and improve relationships between buyers and sellers.

Target geographic area(s): While the Mission will consider proposals for any region of Nigeria, preference will be given to activities that focus in the northern region.

Country: Office of Middle East Programs (OMEP)
(only multi-country programs)

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Send by e-mail to mreilly@usaid.gov and DGP@usaid.gov.

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG).

Maximum size of award: \$2.0M for Cooperative Agreement, \$1.5M for FOG.

Life of the award: Up to 5 years for Cooperative Agreement, Up to 3 years for FOG.

Sectors of Focus or Development problems to be addressed:

OMEP welcomes Concept Papers for programs in the following areas:

a) Water and Sanitation Policy and Governance

- Promoting improved policy, laws, and regulations to expand service delivery and treatment, and to ensure national standards for tariff setting, licensing, benchmarking, and performance monitoring;
- Promoting improved water utility operations and service delivery through strengthening corporate governance and management of utilities, private sector participation, and demand management;
- Fostering efforts to achieve cost recovery tariffs while addressing affordability and access issues;
- Increasing awareness of operating efficiencies to achieve economies of scale as well as responsiveness to users; and
- Promoting appropriate involvement of various users of water (domestic supply, industrial users, agriculture) in decision-making so that all sectoral interests have access to and ownership of water resource management decisions.

b) Promoting Science & Technology Cooperation in the Delivery of Water & Wastewater Services

- Fostering an environment of regional data sharing data-based decision making in the water and sanitation sector; and
- Building the scientific, technological and information capacity necessary to integrate science-based decision-making into management decisions related to water supply, conservation and management, and sanitation.

c) Promoting Strategic Information Capacity among Water & Wastewater Institutions

- Establishing and/or strengthening host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program element; and sharing such approaches on a regional basis. These may include, but are not limited to, MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. Programs may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models.

Target geographic area: OMEP welcomes proposals for regional (i.e. not limited to a single country) programs in the Middle East and North Africa region (Egypt, Iraq, Jordan, Lebanon, Morocco, West Bank/Gaza, Yemen).

Country: Philippines

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to randerson@usaid.gov and DGP@usaid.gov

and

Hard-copy hand-delivered to USAID/Philippines before 4:30pm local time.

Please leave envelopes at the Mission's security desk, addressed to Rowena Vasquez, Secretary of the Office of Environment, Energy and Climate Change.

U.S. Agency for International Development

8/F PNB Financial Center

Pres. Diosdado Macapagal Boulevard

Pasay City, Philippines 1308

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$2m for Cooperative Agreement, \$1.5m for FOG

Life of the award: Up to 5 years for Cooperative Agreement, Up to 3 years for FOG

Sector(s) of Focus or Development problem(s) to be addressed:

Biodiversity Conservation and Watershed Management

USAID/Philippines is interested in applications that improve watersheds while conserving biodiversity. Proposals should: 1) address the continuing degradation of biodiversity and natural resources, while also more deeply integrating climate change considerations into long-term planning; 2) strengthen weak governance capacities to manage natural resources and conserve biodiversity; 3) expand the benefits from sustainable natural resources management, while confronting issues of overexploitation and undervaluation that reduce benefits in the long term; 4) strengthen the resilience of already fragile ecosystems and ensure services derived from them to buffer the risks posed by natural disasters; and 5) contribute to the reduction of greenhouse gas (GHG) emissions. Proposals should have some combination of the above requirements, and those that address all factors will be considered more favorably. Proposals with clear outcomes and that demonstrate the potential for substantive, measurable improvements to biodiversity and watersheds/forests during the duration of the project are desired. Proposals that mobilize the private sector involvement and co-financing is an advantage.

Illustrative Activities: The following list of illustrative activities, either in combination or integrated, could be undertaken. Other innovative ideas are welcomed.

1. Strengthen weak governance capacities to address continuing degradation of watersheds and key biodiversity areas
2. Strengthen the resilience of critical watershed and forest ecosystems, including mangroves, to buffer the risks posed by natural disasters and climate change impacts
3. Expand the ecological, social and economic benefits from sustainable natural resources management based on appropriate economic valuation
4. Stimulate greater private sector investment in watersheds and forests
5. Help the GPH and other stakeholders to develop and implement strategies to reduce greenhouse gas (GHG) emissions.
6. Improve the availability, quality and utility of environmental data needed to improve conservation and management of key biodiversity areas.

Target geographic areas: While the Mission will consider proposals for any region of Philippines, preference will be given to activities implemented in watershed and mangrove areas, which are high priority for the conservation of biodiversity and have significant potential to reduce GHG emissions through forestry activities, and/or which have significant contribution to disaster risk reduction. It is expected that strengthening forest ecosystems through improved management will reduce these landscapes' vulnerability to climate change. This, in turn, will enhance the value and ensure the supply of ecosystem goods and services.

To the extent possible, activities should be linked, complement and/or supportive of the Mission's Partnership for Growth and Cities Development Initiatives focal areas (please refer to USAID/Philippines' website for more information on these initiatives <http://philippines.usaid.gov/>).

Toxic Waste

USAID/Philippines also invites proposals concerning innovative approaches to reduce toxic waste caused by artisanal gold mining. Artisan and small scale gold mining is a significant and growing industry in the Philippines, and the effects of mercury have been significant both on people and the environment, affecting approximately one million people and polluting some of the country's most environmentally critical areas. Proposals that have a compelling economic case on top of improving environmental and health concerns would be particularly welcome.

Illustrative Activities: The following list of illustrative activities, either in combination or integrated, could be undertaken. Other innovative ideas are welcome.

1. Review of related national policies on artisanal mining
2. Strengthening the capacity of concerned national and local government units to enforce standards on artisanal mining
3. Increasing the awareness of concerned communities, local government and NGOs on the health and environmental impacts of artisanal mining
4. Improving artisanal mining practices and tools to protect human and environmental health

Target geographic areas: While the Mission will consider proposals for any region of Philippines, preference will be given to activities implemented in areas where the needs are highest and where opportunities exist to significantly reduce health impacts and environmental pollution caused by artisanal mining. The Mission will also consider proposal that will be limited to policy reforms and institutional strengthening of concerned Philippine Government agencies.

Country: Senegal

Language(s) for Concept Papers: English, French

Language(s) for Full Applications: English, French

Required format for submission of Concept Papers and Full Application:

Email to: DGP4Senegal@usaid.gov and DGP@usaid.gov before 5 pm.

and

Hand-deliver a hard-copy to the offices of USAID/Senegal, located near Ngor beach, Petit Ngor, Dakar, before 5 pm. The hard copy should be left with the guard and addressed to Beatrice Conde-Deverson, Agreement Officer.

The types of awards: Cooperative Agreement

Maximum size of award: \$2 million United States dollars

Life of the award: 4 years

Sector(s) of Focus or Development problem(s) to be addressed:
BASIC EDUCATION

Improving Foundational Reading Skills

This program area seeks to improve the foundational reading skills of students in primary schools through innovative supplemental activities that offer them multiple and different ways to learn and provides the opportunity to practice basic skills. Reading activities should not only strengthen students' skills in phonemic awareness, decoding, reading fluency, vocabulary, and comprehension in the early grades (grades 1-3) but also promote and build a culture of reading both at school (grades 1-6) as well as within communities. The application of appropriate information and communications technology (ICT) solutions, such as the use of relevant computer software that helps students practice and improves foundational reading skills, are encouraged. Support for national awareness raising campaigns that highlight the importance of foundational skills and motivate students to read more is also highly desirable.

This program area also aims to build the capacity of individuals, organizations, and institutions to improve the quality of reading instruction and skills acquisition in primary schools. The sustainability of intervention activities should be achieved through programming with relevant education related institutions, local government, as well as local education foundations such as the one created through USAID/Senegal's Education de Base program. When possible, the ability to leverage public-private support is also encouraged.

Target geographic area(s):

While the Mission will consider proposals for multiple regions of Senegal, preference will be given to activities that target regions with the lowest academic performance in primary school such as Kaffrine, Diourbel, Tambacounda, Louga, and Matam. When possible, a primary school reading campaign will be scaled up nationally to support all children reading in Senegal.

Illustrative Activities

The following list of activities is only illustrative – other innovative ideas are welcome.

- Provide ICT support such as the use of interactive computer software that enables students to practice foundational skills in reading.
- Develop a national reading campaign through TV, radio, and other relevant media that communicates the importance of reading and engages communities, parents, students, teachers, schools, and government to support reading activities.
- Organize and support school, district, regional, and national reading contests, such as read-a-thons, that offer top readers and schools educational prizes.
- Train parents on the importance of reading and what they can do to support their children to better acquire those essential foundational skills.
- Provide remedial courses in reading to the poorest performing primary schools through afterschool, weekend, and summer camps.
- Develop high-interest, low cost local children's literature for various primary grades that build reading fluency, vocabulary, and comprehension skills.
- Develop low cost libraries with relevant, high-interest reading materials that encourage and motivate children to read—this could include both print and digital materials.

Country: South Africa

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Applications:

Email to: DGPSouthernAfrica@usaid.gov; with a copy to DGP@usaid.gov emails must be received by 5pm South Africa/local time.

and

Hard copy mailed to Mission and post-marked before 5 pm South Africa/local time at:

USAID/Southern Africa
Attention: Doreen Robinson, DGP
P.O. Box 43
Pretoria 0027
South Africa

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$2m for Cooperative Agreement; \$1.5m for FOG

Life of the Award: Up to 5 years for Cooperative Award; up to 3 years for FOG

Sector(s) of Focus or Development problem(s) to be addressed:
Integrated Water and Climate Change

Water scarcity is a growing concern in Southern Africa, particularly in the face of anticipated climate change impacts. The region requires a coordinated response to effectively manage its water resources and protect its future availability for humans and ecosystems. USAID/Southern Africa is interested in working with NGOs to promote sound water resources management and strengthened local capacities, particularly those capacities that will enhance abilities to cope with climate change in South Africa. Only organizations with prior work experience in South Africa will be considered. Activities should include an institutional capacity building and behavior change component to ensure lasting success. Policy initiatives should emphasize improved science, analysis, capacity and participatory decision-making for relevant stakeholder groups. Special consideration will be given to applications that emphasize partnerships with universities and other educational institutions and employ creative means of engaging youth.

Target geographic area(s):

All of South Africa.

Mission Goals/Objectives (or links to them): For more information about current USAID/Southern Africa programs, links to current and past implementing partners and recent documents, please see the following webpage:
http://www.usaid.gov/locations/sub-saharan_africa/countries/rcsa/index.html

Country: Southern Africa Region
(only multi-country programs)

Applications may only include activities that are inherently regional or transboundary in nature, involving more than one Southern Africa Region country. Southern Africa Region countries include Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia and Zimbabwe.

Language(s) for Concept Papers: English
Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Applications:
Email to: DGPSouthernAfrica@usaid.gov; with a copy to DGP@usaid.gov emails must be received by 5pm South Africa/local time.

and

Hard copy mailed to Mission and post-marked before 5 pm South Africa/local time at:

USAID/Southern Africa
Attention: Doreen Robinson, DGP
P.O. Box 43
Pretoria 0027
South Africa

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$2m for Cooperative Agreement; \$1.5m for FOG

Life of the Award: Up to 5 years for Cooperative Award; up to 3 years for FOG

Sector(s) of Focus or Development problem(s) to be addressed:
Integrated Water and Climate Change

Water scarcity is a growing concern in Southern Africa, particularly in the face of anticipated climate change impacts. The region requires a coordinated response to effectively manage its water resources and protect its future availability for humans and ecosystems. USAID/Southern Africa is interested in working with NGOs to promote sound water resources management and strengthened local capacities, particularly those capacities that will enhance abilities to cope with climate change. Only organizations with prior work experience in the stated trans-boundary region will be considered. Activities should include an institutional capacity building and behavior change component to ensure lasting success. Regional or policy initiatives should emphasize improved science, analysis, capacity and participatory decision-making for relevant stakeholder

groups. Special consideration will be given to applications that emphasize partnerships with universities and other educational institutions and employ creative means of engaging youth. Proposals must address an inherently transboundary issue or promote regional cooperation and solutions to common development challenges in more than one Southern African country.

Target geographic area(s):

Activities that are inherently regional or transboundary in nature, involving more than one Southern Africa Region country. Southern Africa Region countries include Angola, Botswana, Democratic Republic of Congo, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia and Zimbabwe.

Mission Goals/Objectives (or links to them): For more information about current USAID/Southern Africa programs, links to current and past implementing partners and recent documents, please see the following webpage:
http://www.usaid.gov/locations/sub-saharan_africa/countries/rcsa/index.html

Country: Sri Lanka

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to - DGPSriLanka@USAID.GOV and DGP@USAID.GOV

The types of awards: Grant award instruments.

Maximum size of award: \$1.5 million

Life of the award: Up to 3 years.

Sector(s) of Focus or Development problem(s) to be addressed: Services for Vulnerable Populations, Livelihoods Program Interventions, and Civic Dialogue and Cross-community Activities

Services for Vulnerable Populations

This program area aims to increase PWD participation in mainstream development activities, through socio-economic integration, while building the technical capacity of service providers to PWDs. The sustainability of technical programming in prosthetics and orthotics-related support, for example, should be achieved through programming with relevant government health related institutions.

This program area also aims to build the capacity of individuals and organizations to help treat and restore the functioning of those affected by conflict related mental trauma. The specific categories of assistance targeted under this program are specialized health, psychosocial, and legal services that address the evolving needs of conflict affected populations suffering from the short- and long-term effects of trauma and other violence.

The following activities list is only illustrative - other innovative ideas are welcome.

Illustrative Activities

- 1) Promote participation of people with disabilities in governance processes.
- 2) Foster mainstreaming of children with disabilities in formal education system and develop programs to institutionalize inclusive education.
- 3) Increase employment and economic opportunities for people with disabilities.
- 4) Increase and expand access to quality prosthetics and orthotics services and other physical rehabilitation interventions.

- 5) Provide counseling, medical care, and physical therapy support projects that treat the medical, psychological, and social needs of trauma survivors and their families.

Livelihoods Program Interventions

The livelihoods programs supported through these grants will aim to promote sustainable socio-economic recovery and resiliency in targeted communities primarily in the Northern Province, with particular focus on divisions that have high caseloads of new (post-2008) and old caseload (pre-2008) returnees, but have been overlooked by donor agencies. The objectives of the programs are to affect positive change in the former conflict zone by strengthening capacity for vulnerable populations to: (1) access necessary resources and markets; (2) adequately plan development priorities and; (3) interface with local government and civil society.

To achieve these outcomes, the partner(s) in Sri Lanka will implement activities similar to these following illustrative examples, as well as other innovative program interventions designed by the applicant.

Illustrative Activities

- Improve the poor market structure that farmers face in the Northern Province by focusing on specialized and high value agricultural products (either paddy, highland crops, vegetables, fruits, or other field crops) and working with households, farmer/fisher associations to develop volumes of production, storage facilities and develop linkages with upstream markets and buyers. (Linkages with USAID Economic Growth partners - Biz+ and Public/Private Alliances encouraged, where possible.)
- Partner with community based organizations (CBOs, cooperative societies, RDS/WRDS, agricultural extension agents, *shramadana* societies) to develop demand driven livelihoods activities with community level ownership.
- Engage groups of households or communities and responsible government agencies (such as Agrarian services, or Irrigation Departments) in local small scale infrastructure improvement projects such as irrigation/drainage canal clearance, tanks rehabilitation, or salt-water exclusion projects, through labor intensive methods (such as cash for work).
- Support “value-addition” skills development to agriculture. Activities might focus on support for support for more advanced skills development in mechanized agriculture operations (such as training for harvester operators, mill operators, repairers, water-pump repairers, sprayer

repairing and tractor repairing). Other skills training could include water management, organic farming and pruning techniques for both men and women.

- Support conflict-affected households through animal husbandry projects, to improve the ability of communities to breed cattle and produce milk based products. Activities might focus on: improving cattle management techniques, milk preservation techniques, processing knowledge and value addition techniques.

While USAID anticipates that applicants to this solicitation will indicate target beneficiaries based on their scope of activities and informed by their analysis / research, USAID recommends that applicants target programming in the following most vulnerable population categories:

- Women-headed households and households with multiple children.
- Households with members with physical disabilities.
- IDP Households in process of return, resettlement, and recovery - both old and new caseloads and those to be resettled from host families.
- Associations, networks and pre-existing CBOs made up of household participants from the above categories.

Civic Dialogue and Cross-community Activities

As Sri Lanka makes impressive development and economic strides in the post-conflict environment, there is considerable opportunity to strengthen the efforts of NGOs to address and advocate for locally identified issues of common concern. Projects that increase dialogue and communication among and between populations from different regions and communities, particularly at the local level, can diminish misperceptions, foster common interests, and provide a platform for engaging with decision makers on issues of local importance. USAID Sri Lanka encourages concept papers in the following illustrative areas but also encourages other innovative ideas.

- Civic dialogue forums and initiatives to identify common challenges and interests among and between Sri Lanka's communities, and formulate strategies for identifying and working with policy makers and allies.
- Programs that contain an on-going commitment to reducing language barriers and resolving social, economic or political differences.
- Research initiatives that engage academic institutions and students to explore comparative approaches and outcomes to post-conflict reconciliation endeavors and develop locally applicable recommendations in the areas of social - economic integration and governance processes.
- Cultural/sporting events and professional/youth exchanges that build cross-community cooperation.

Country: Tajikistan

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to chancock@usaid.gov, jborger@usaid.gov, and DGP@usaid.gov

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$2m for Cooperative Agreement, \$1.5m for FOG

Life of the award: Up to 5 years for Cooperative Agreement, Up to 3 years for FOG.

Sector(s) of Focus or Development problem(s) to be addressed: Human Rights, Disaster Risk Reduction, and Microenterprise

Human Rights

Ideal programs would support the work of indigenous organizations to independently monitor, investigate, and report on human rights conditions, deter human rights violations, and advocate for improved human rights. Programs are encouraged to address any human rights issues that are identified by local communities, demonstrate coordination with other human rights programs in Tajikistan, and to work cooperatively with the government to improve rights protection. Competitive proposals will give attention to the rights of women, children, rural populations, and minority groups.

Disaster Risk Reduction

Ideal programs would increase resilience to common hazards in Tajikistan such as floods, mudslides, rockslides, and avalanches and would strengthen a culture of disaster risk reduction among the most vulnerable communities in Tajikistan. Competitive proposals would be implemented in areas in which disasters have a direct and recurrent impact on communities, affect the greatest number of people, and have significant socio-economic effects on lives and livelihoods. Possibilities include: improving understanding of at-risk populations of risks posed by hazards; strengthening community and local capacities to address vulnerability to hazards; and promoting risk-wise behavior by implementing DRR measures that enhance environmental and natural resource protection. Priority will be given to programs that link DRR activities with development programs, particularly USAID programs and/or climate change adaptation plans in Southwest Khatlon.

Microenterprise

Programs under this category must have a component that positively impacts women and their involvement in microenterprise, or a component that encourages urban entrepreneurs to create businesses. Programs should support the start-up and expansion of self-employment and micro and small enterprises owned and operated by low-income people. Activities may include foreign and domestic business advisory services, business incubators, or any other means of supporting small and medium enterprises. Objectives may include increasing the accessibility, availability, relevance, and sustainability of business services, training and extension, inputs, equipment, and technologies that equitably respond to the needs and capacities of female and male-owned micro-scale firms; improving laws, regulations, and policies that limit the availability of business services for women- and men-owned micro and small enterprises; helping microbusinesses and small-scale producers take advantage of and meet the requirements of higher-value end markets (domestic, regional, or international), usually by partnering with larger scale firms; and promoting effective entrepreneurship development and support models for adults, youth, and specially disadvantaged populations. Priority will be given to programs that work to expand the Small and Medium Enterprise (SME) base in southwest Khatlon region and that encourage or expand cross-border business partnerships.

Country: Turkmenistan

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to chancock@usaid.gov, jborger@usaid.gov, and DGP@usaid.gov

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$2m for Cooperative Agreement, \$1.5m for FOG

Life of the award: Up to 5 years for Cooperative Agreement, Up to 3 years for FOG.

Sector(s) of Focus or Development problem(s) to be addressed:

Private Sector Competitiveness (in Agriculture)

Agriculture is one of the key segments of the economy in Turkmenistan that has enjoyed private sector growth; and the President has called for greater diversification of the economy (from the state-run extractive industry), with a specific focus on Agriculture. Work with private sector farmers has already produced remarkable results, but much more could be done. Specific emphasis should be placed on the development of the value chain, as most private farmers in Turkmenistan do not know how to take advantage of (and meet the requirements for selling to) higher-value markets. Ideal programs would focus on small-holder agricultural producers, particularly those operated by low-income persons, providing access to quality agricultural inputs, business services, training and extension services, and equipment/technology.

Private Sector Competitiveness (in Workforce Development for Youth)

Youth in Turkmenistan lack the skills to enter the workforce in a meaningful way. In high demand would be programs that provide opportunities for young people to acquire practical skills in economics and entrepreneurship and that would help them to improve the quality of their lives and foster economic and social development in their countries. In addition to academic/vocational training, program would focus on participatory life planning, economic and business skills development programs that provide the attitudes, skills and knowledge that will assist youth enter the workforce and become meaningful participants in Turkmenistan's economy.

Private Sector Competitiveness (in Product Standards)

Diversification of the economy is a priority for the Government of Turkmenistan, but the country currently exports very few goods and services outside of hydrocarbon resources. One of the reasons for this is poor understanding of international product standards and technical regulations. Programs that help build international confidence in Turkmenistan's products and services would be highly advantageous, as well-enforced standards provide a vital link to global trade, market access, and export competitiveness as they contribute to consumer confidence in product safety, product quality, and environmental protection. Programs that could engage with the Government of Turkmenistan to develop a Strategic Plan for compliance with internationally-recognized quality and safety standards would make it much easier for producers from Turkmenistan (whether state or private) to export their products.

Country: Ukraine

Language(s) for Concept Papers: English

Language(s) for Full Applications: English

Required format for submission of Concept Papers and Full Application:

Email to kyvinfo@usaid.gov and DGP@usaid.gov

The types of awards: Cooperative Agreement or Fixed Obligation Grant (FOG)

Maximum size of award: \$2m for Cooperative Agreement, \$1.5m for FOG

Life of the award: Up to 5 years for Cooperative Agreement, Up to 3 years for FOG.

Sector(s) of Focus or Development problem(s) to be addressed: Climate Change, Water Supply, and Freedom of Speech/Media Independence

Climate Change

USAID/Ukraine is interested in proposals promoting the sustainable use of renewable energy technologies combined with energy efficient end-use technologies. Proposals could address energy in public utility and residential sectors, in both municipal and rural areas. In particular, the programs will develop the capacity of local communities, governments and businesses to use locally available renewable and alternative energy sources to replace fossil fuels used for heating and hot water supply and other energy-related needs. Programs will develop and test a simple, affordable, and economically viable (e.g., no subsidies) solutions that will lead to savings in communities' energy-related expenditures, result in emissions reduction, and will have a high potential for replication. A primary objective of these programs must be to reduce emissions of greenhouse gases. Programs should also develop capacities of local governments, communities, energy companies and other private and public stakeholders to use public-private partnerships as a means to enhance the efficiency of public services and infrastructure with incentives and capital of the private sector.

Target geographic area(s): The Mission will prioritize proposals focused on rural areas and rayon significant cities.

Illustrative Activities

Biomass has the potential to serve as a renewable energy source. By initial accounts, Ukraine has significant potential to use biomass as a renewable energy source, but is currently largely underutilized. (Biomass, such as food crops or substituting food crops, will not be considered).

Water Supply - Access to safe water in selected healthcare facilities in Southern Ukraine

Ukraine as a whole, and its southern regions in particular (i.e., Crimea, Kherson, Mykolayiv, Odesa), continue to face challenges in providing safe drinking water to its population. This is due to several factors, including: limited sources of water in these regions; outdated water supply infrastructure; lack of financial resources in local budgets to improve the water quality and water supply; and an absence of social norms and knowledge among the general population about the necessity for good water quality for general health. In some of these regions (Kherson region and Crimea), the problems with water supply systems and availability of safe drinking water are even more acute than in other southern regions.

Target geographic area(s): The Mission will consider proposals for the following southern regions of Ukraine: Crimea, Kherson, Mykolayiv and Odesa.

Illustrative Activities

- Increase access to safe drinking water and improve water quality in selected healthcare facilities in two regions, Kherson region and the Autonomous Republic of Crimea, to ensure that vulnerable population groups such children, elderly patients, disabled people, HIV + people, and pregnant women have access to safe and clean water.
- Promote partnerships between the local government, local water supply organizations and private entities that would result in improved management of local water supply systems and accountability of the government before the communities for the quality of water in the future.
- Educate beneficiaries on water safety and sanitation, emphasizing the quality of water for one's health and safe hygiene principles and practices.

Freedom of speech and media independence

USAID/Ukraine is interested in proposals which aim to prevent further backsliding in the media sector in Ukraine, discourage censorship and others means of curtailing press freedom, and promote a diversity of views and sources of news. Activities should strive to build the capacity of civic leaders, media professionals and civil society organizations to defend and expand the space for independent media in Ukraine. Proposed activities can be focused on one or more of the following components: media monitoring, media literacy or advocacy.

Target geographic area(s): The Mission will consider proposals for any region(s) of Ukraine.

Illustrative Activities

The following list of activities is only illustrative. Innovative ideas, especially the use of new media and other technologies, to deal with a challenging media environment are welcome.

- **Media monitoring.** Credibly and effectively monitor media for signs of misinformation, payment for news, censorship, harassment, undue pressure, and conflicts of interest. Monitoring data should meet strict methodological standards to ensure objectivity and accuracy. The data should be suitably packaged and made available to domestic and international actors in a timely manner and user-friendly format. Target audience will include media industry itself, government and civic leaders, international watchdog organizations, foreign governments and general public.
- **Advocacy.** Efficiently lobby on behalf of the media organizations or individual journalists to promote adherence to the law, protect rights, and advocate for freedom of expression and freedom of press.
- **Media Literacy Education.** Conduct public education and awareness initiatives that stimulate demand for better journalism in the general public and within the profession, including establishing complaint mechanisms for media professionals and the general public to report ethical violations. Given increased control exercised by media owners and the state, the extent to which the media sector improves in the next few years will be significantly influenced by public demand and peer pressure.

APPENDIX 2: Water Supply and Sanitation, Microenterprise, and Basic Education

Please Note: The IDEA Office seeks to reach development goals more quickly, cost-efficiently, sustainably, and at wider scale **through innovation** (meaning significant, not incremental, improvements in development impact) and partnership. The IDEA Office strongly encourages submission of concept papers and full applications that use creative, innovative and/or non-traditional approaches for achieving development goals in any sector including in Water Supply and Sanitation, Microenterprise, and Basic Education.

Program Element 3.1.8: Water Supply and Sanitation

Definition: Ensure broadly accessible, reliable and economically sustainable water and sanitation services for health, security, and prosperity. (Note that this element does not include the household behavior aspects found in sub-element 1.6.7 or water issues directly relating to Agriculture – found in Sub-Element 3.1.6.8 or water issues.)

Sub-Element 3.1.8.1: Safe Water Access

Definition: Increase access to water of appropriate quantity and quality for use in households, schools, health facilities, and industrial/commercial facilities through protection of existing water sources, sustainable development of new sources (e.g., well drilling and spring capping); expansion and rehabilitation of water supply infrastructure, such as pumps and distribution systems; implementation of appropriate community-based approaches to design, construction, operation and maintenance.

Sub-Element 3.1.8.2: Basic Sanitation

Definition: Increase access to and use of sanitation services for safe human waste disposal to protect human health and environmental quality. Support effective approaches to building demand for sanitation-related products and services and test innovative, low-cost approaches which show promise of effectiveness. Facilitate private sector participation in providing sanitation products and services. Where applicable, promote sustainable solutions for wastewater treatment and reuse.

Sub-Element 3.1.8.3: Water and Sanitation Policy and Governance

Definition: Improve policy, laws, and regulations to expand service delivery and treatment, and to ensure national standards for tariff setting, licensing, benchmarking, and performance monitoring. Improve water utility operations and service delivery through strengthening corporate governance and management of utilities, private sector participation, and demand management; achieving

cost recovery tariffs while addressing affordability and access issues; and increasing operating efficiency to achieve economies of scale as well as responsiveness to users. Promote appropriate involvement of various users of water (domestic supply, industrial users, agriculture) in decision-making so that all sectoral interests have access to and ownership of water resource management decisions.

Sub-Element 3.1.8.4: Sustainable Financing for Water and Sanitation Services

Definition: Increase mobilization of domestic public and private sector financing for water and sanitation sector development and increased 4/8/2010 access to services. Develop financially sustainable options for wastewater treatment.

Sub-Element 3.1.8.5: Water Resources Productivity

Definition: Increase efficiency and promote productive, multiple uses of water in domestic and industrial sectors.

Sub-Element 3.1.8.6: Science and Technology Cooperation

Definition: Build the scientific, technological and information capacity necessary for science-based decision-making in water supply, conservation and management and in sanitation.

Sub-Element 3.1.8.7: Host Country Strategic Information Capacity (Water)

Definition: Establish and/or strengthen host country institutions' management information systems (MIS) and their development and use of tools and models to collect, analyze and disseminate a variety of information related to the program element. These may include, but are not limited to MIS for government ministries or other host country institutions, needs assessments, baseline studies, censuses and surveys, targeted evaluations, special studies, routine surveillance, data quality assessments, and operational research. This sub-element may also include developing and disseminating best practices and lessons learned and testing demonstration and/or pilot models. Related training, supplies, equipment, and non-USG personnel are included.

Microenterprise

Program Element 4.7.3: Strengthen Microenterprise Productivity

Definition: Support the start-up and expansion of self-employment and micro and small enterprises owned and operated by low-income people.

Sub-Element 4.7.3.1: Microenterprise Business Development Services

Definition: Increase the accessibility, availability, relevance, and sustainability of business services, training and extension, inputs, equipment, and technologies that equitably respond to the needs and capacities of female and male-owned micro-scale firms. Improve laws, regulations, and policies that limit the availability of business services for women- and men-owned micro and small enterprises.

Sub-Element 4.7.3.2: Value Chains for Micro and Small Enterprises

Definition: Help microbusinesses and small-scale producers take advantage of and meet the requirements of higher-value end markets (domestic, regional, or international), usually by partnering with larger-scale firms.

Sub-Element 4.7.3.3: Entrepreneurship Development

Definition: Promote effective entrepreneurship development and support models for adults, youth, and specially disadvantaged populations.

Basic Education

Program Element: Basic Education

Definition: Improve Reading for children in primary school

Improve reading competency for children in primary school to read at grade level to ensure success in future grades and the development of skills necessary for productive livelihoods. USAID/IDEA encourages the use of innovative, creative and non-traditional approaches including private school teacher training and curriculum development to achieve this goal, and education of children in their native languages where possible in the earliest grades to allow for earlier comprehension and a smoother transition into other languages in subsequent years. The education program should focus on improving reading skills for children in primary grades through support for:

Improved reading instruction

Improved primary education systems

Enhanced community and public engagement in education

APPENDIX 3: ORGANIZATIONAL ASSESSMENT AND INSTITUTIONAL CAPACITY DEVELOPMENT

Capacity development of civil society organizations is an important objective of the DGP, and focuses on the ongoing processes and actions necessary for an organization to consistently identify constituent needs, plan appropriate responses to those needs, raise and efficiently manage the resources required to meet those needs, and to systematically identify achievements and remedy shortcomings in meeting evolving needs in a changing environment.

The illustrative capacity development activities listed below represent a small sample of the types of activities that an organization might consider as part of a capacity building plan. For greater detail on the types of capacity development areas an organization might include in a capacity development plan, review the references listed below.

- 1 Training to improve staff skills in human resources management, financial management, program management, monitoring and evaluation, fundraising, strategic or interpersonal communication, board development, relationship building, networking, or other core operating skills;
- 2 Hiring professional consultants or capacity development organizations to work closely with an organization to train staff on any of the areas referenced in point 1 above;
- 3 Exposure visits to well-established organizations or projects to learn how to scale up or otherwise improve activities.
- 4 Holding workshops with staff, management and beneficiaries/constituents to establish participatory feedback mechanisms to keep organizations accountable to those they serve.
- 5 In those instances where it is essential to achievement of development objectives, strengthening a partner's ability to effectively engage in policy advocacy and to perform government monitoring and oversight activities in the development sectors of concern to them.

Capacity Assessment Information and Resources

There are a number of well-recognized organizational capacity assessment tools that are widely available on the internet. Below are additional resources which contain guidance on which kind of assessment to choose, as well as the self-assessment tools themselves (such as USAID's Institutional Development Framework Assessment Tool or the Bruner Foundation's Modified Evaluative Thinking Assessment Tool). Even if the Applicant chooses not to conduct a rigorous self-assessment, the below resources are useful when deciding upon capacity development objectives and designing a plan.

The USAID provides a useful starting point for organizations just beginning to think about institutional capacity with its publication entitled "Performance

Monitoring and Evaluation TIPS, Measuring Institutional Capacity” which can be found at http://pdf.usaid.gov/pdf_docs/pnadw115.pdf

For more information about **how to select an organizational assessment tool**, an article entitled “Capacity Building Perspectives: Understanding Organizational Assessment” by Evan Bloom, Meg Kinghorn, and Betsy Kummer, published on the Impact Alliance website

http://www.impactalliance.org/en.php?ID=7442_201&ID2=DO_TOPIC has helpful information. While many of the links to the tools this site discussed are no longer valid, the article is helpful for deciding what kind of tool to utilize.

For a **list of readily available organizational capacity self-assessment tools**, Reflect&Learn has compiled a number of tools, some of which may be useful for the application: <http://www.reflectlearn.org/discover/self-assessment-tools>

One relatively straight-forward tool with automatic calculations in a single Excel file is the Bruner Foundation **Modified Evaluative Thinking Assessment Tool**: <http://reflectlearn.org/all/bruner-foundation-effectiveness-initiatives-evaluative-thinking-assessment-tool>

- “OCAT” is based on “Organizational Assessment Capacity Tool: A Handbook on Participatory Monitoring and Evaluation” (PACT, 1996). <http://www.pactworld.org/galleries/resource-center/Intro%20to%20OD%20First%20Edition.pdf>
- “DOSA” stands for Discussion-Oriented Organizational Self-Assessment <http://portals.wdi.wur.nl/files/docs/ppme/dosa.pdf> and a discussion of it can be found here http://pdf.usaid.gov/pdf_docs/PNACG624.pdf
- “TTAP” is based on “Training and Technical Assistance Plan” (Counterpart International, 1999). An example of its use can be found at http://pdf.usaid.gov/pdf_docs/PDABY950.pdf
- “ISA” is the “Institutional Strength Assessment” Methodology developed under the USAID/PVC-supported Child Survival Technical Support Project (CSTS) implemented by Macro International, Inc.
- “IDF” refers to the Institutional Development Framework developed for USAID by Management Systems International (MSI) and can be found here in English, Spanish, French, Russian and Portuguese: <http://www.ngoconnect.net/resources/idf>
- “OCI” is the “Organizational Capacity Indicator” scale of the Christian Reformed World Relief Committee (CRWRC) drawn from “Partnering to Build and Measure Organizational Capacity” (CRWRC, 1997).

- "Fisher" is based on Non Governments: NGOs and the Political Development of the Third World, by Julie Fisher (Kumarian Press, 1997).

For **more about local capacity developers**, there are several good articles on <http://www.capacity.org/capacity/opencms/en/index.html> including: <http://www.capacity.org/capacity/opencms/en/topics/local-capacity-developers/index.html>

In his paper prepared for USAID in February, 2000 entitled "A Composite Framework for Assessing the Capacity of Development Organizations," Jerry VanSant of Duke University compiled a **helpful list of the common categories of institutional capacity**, listed below. The full text (6 pages) of VanSant's paper can be found here: [http://www.g-
rap.org/docs/icb/usaaid_2000_capacity_assessment.pdf](http://www.g-
rap.org/docs/icb/usaaid_2000_capacity_assessment.pdf) or http://pdf.usaid.gov/pdf_docs/PNADY217.pdf

Institutional Resources

Legal structure and governance
Human resources
Management systems and practices
Financial resources

Institutional Performance

Program results
Networking and external relations
Application of technical knowledge
Constituency empowerment

Institutional Sustainability

Organizational autonomy
Leadership Organizational learning

In this article, VanSant goes on to describe 8 commonly used institutional capacity development tools. Any of these tools would be an appropriate starting point for a DGP Applicant to do an initial self-assessment of organizational capacity

"ISR" (Institutional Self Reliance) is based on "Institutional Self Reliance: A Framework for Assessment" by Jerry VanSant (Center for International Development Working Paper, Research Triangle Institute, 1991).

APPENDIX 4: US PVO Self Certification

US PVO Self-Certification

The self-certification process applies to non-profit U.S. based organizations only. In USAID's effort to streamline the assistance process, it has become clear that one of the areas that can be simplified is the large number of document submissions required with assistance applications. In order to eliminate some of the repetitive requirements, we are establishing a procedure whereby US based non-profit organizations may certify that their personnel, travel and procurement policies meet Federal and the Agency's requirements and may submit an annual certification covering compliance with laws and regulations governing nondiscrimination in federally assisted programs." Based on these self-certifications, the organization will be exempted from certain current requirements as explained below.

An organization's policies and procedures must include, at a minimum, sufficient guidance to provide reasonable assurance that their application will result in compliance with the requirements of Federal and USAID regulations. Attached are checklists with some of the most basic requirements that must be satisfied for an organization to certify its compliance. The items on the checklists are not intended to be comprehensive, but rather to highlight particular areas of USAID concern. Also attached is the systems certification. As you will note, it indicates your organization's commitment to comply with all applicable federal and USAID regulations. For your information, we have also attached a copy of the Procurement Reform Documentation Requirements for Non-Profit Recipients from the Automated Directives System (ADS). This document is available at <http://www.usaid.gov/policy/ads/> under ADS Series 303.3.8b.

Your organization should review the following information and complete the "Recipient Certificate of Compliance." The certification must be signed by an officer who is authorized to bind the organization, e.g., sign contracts, etc. and be submitted, along with the completed "Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs" certificate (attached), to the Overhead, Special Cost and Contract Closeout Branch of the Cost Audit and Support Division's Office of Acquisition and Assistance at the following address:

Mr. James Davis
U.S. Agency for International Development
M/OAA/CAS/OCC
SA-44, Room 8.822-B
1300 Pennsylvania Avenue
Washington, D.C 20523

M/OAA/CAS/OCC will review and retain the certifications (both the systems

certifications and the annual certification) for central record keeping. Your organization must also submit a copy of the completed systems certification with each applicationl you submit in response to a USAID RFA.

As a result of the establishment of this systems certification process and the assurance that it will provide, your organization will no longer be required to submit copies of its personnel, travel and procurement policies, or a copy of the “Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs” certificate with each request for assistance. Unfortunately, the other required certifications – e.g., lobbying - are required by law to be submitted with each award.

Compliance testing will take place during the required annual financial audit of your organization as specified by OMB Circular A-133 and/or USAID regulations. We have included language in the systems certification form through which your organization undertakes to arrange for this compliance testing by your outside auditing firm. If the compliance testing results in negative findings, USAID will assess the severity of the noncompliance(s) and recommend corrective action. This corrective action can range from being found not responsible for a particular award to suspension or debarment of your organization in accordance with the provisions of USAID Regulation 8 until the deficiencies have been corrected.

If you have any questions regarding the above, do not hesitate to contact Mr. James Davis at 202-567-4613 or email: jadavis@usaid.gov

Mandatory Reference: N/A

Supplementary Reference: 303

File: 30359s1

Procurement Reform - Documentation Requirements for Non-Profit Recipients

To assist in meeting Agency streamlining goals, the collection of documentation and the procedures for assurance of system compliance for non-profit recipients of USAID awards is being revised. Recipients will be asked to "self-certify" that their personnel, procurement, and travel policies are compliant with applicable OMB circulars and other applicable USAID and Federal regulations.

How does the system work?

M/OP has prepared a series of reminder checklists (see attachments) containing the most basic requirements that a recipient's systems must meet in order for the recipient to certify that their systems are in compliance with applicable Federal and USAID accepted policies. These checklists are not intended to be comprehensive, but to highlight particular areas of concern. Certification packages will be sent to all non-profit recipients of USAID assistance awards shortly. These packages will contain the following information:

1. Checklists containing minimum requirements for personnel, travel, and procurement systems along with an appropriate certification for their systems;
2. A copy of the certificate covering "Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs," and a statement regarding the annual submission of the certificate (current laws do not allow for annual submission of Drug Free Workplace and Lobbying Certificates);
3. An explanation as to how the self-certification system is supposed to function; and
4. An explanation of anticipated compliance testing by USAID as well as during their annual A-133 audits;

Upon receipt of the certification package, the Recipient reviews the package and completes the certification for their systems, completes the Assurance of Compliance certificate, and then forwards all of this to M/OP/PS/OCC.

M/OP/PS/OCC will review and retain the certifications (both system certifications and annual certification). The recipient must also submit a copy of their systems certification with each proposal they submit in response to a USAID RFA.

The systems certification will include language whereby the recipient acknowledges the potential consequences of an inaccurate (either false or intentionally misleading) certification which range from being found not responsible for a particular award to being suspended or debarred under AID Regulation 8.

The systems certification will also require that the recipient agree to instruct the accounting firm that they retain to perform their annual A-133 audits to include in their review of the recipient's internal controls sufficient testing of the implementation of the recipient's personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of this compliance review are to be included in the A-133 audit reports submitted to the government.

Testing for Compliance and Corrective Steps during the annual A-133 audit of

the Recipient, compliance testing will take place. If the compliance testing results in negative findings appearing in the A-133 audit report then M/OP/PS/CAM and M/OP/PS/OCC will assess the severity of the noncompliance(s). M/OP/PS/OCC will be assigned the audit findings for resolution and, if the noncompliance is considered severe, they may recommend that M/OP/E issue a worldwide ALERT NOTICE (Pink Sheet) on the recipient informing Agency offices that the recipient's systems certification is no longer considered valid. When the audit findings have been resolved M/OP/PS/OCC will have the recipient execute a new systems certification (with a current date). They will then have M/OP/E cancel the ALERT NOTICE and, in the process, notify Agency offices of the date on the new (and acceptable) certification.

Beyond the above described process, if an Agreement Officer has specific concerns about a recipient, (s) he may request M/OP/PS/CAM to do a review. M/OP/PS/CAM will do one of three things with requests of this nature. They will i) provide the Agreement Officer with pertinent information already available in their files on the recipient, or ii) initiate a special review of the recipient either by CAM itself or by DCAA, or iii) use the information from the Agreement Officer in their supplementary instructions to the recipient's audit firm on their A-133 audit coverage.

In addition, to the extent possible, M/OP/PS/CAM will routinely undertake periodic reviews of a few organizations to test the accuracy and validity of the compliance certification process.

How will this help the prospective recipient?

Once USAID (M/OP/PS/OCC) receives a system compliance certification from a recipient, the recipient will be expected to submit a copy of that certification with each future application/submission they may make to USAID, as a result Agreement Officers should not request copies of any of the recipient's systems. (We have modified Handbook 13 to delete the requirement for the submission of each recipient's procedures in the January 1996 issuance of the ADS.) In addition, Agreement Officers shall not require organizations to provide salary histories for any employees if the organization has certified its systems. This has, heretofore, been a fairly common practice although it has never been authorized by Handbook 13 and its discontinuance will save substantial time and effort. This system should reduce the number of document submissions a recipient will have to make to the Agency. The reduction in the duplicate data collection will be beneficial to both USAID and to grant/agreement recipients.

What if the Recipient Doesn't Certify?

Given the language in the systems certification, the intentions and the business acumen of a potential recipient of a USAID assistance award who refuses to certify would have to be considered suspect. This is because, by refusing to certify, the potential recipient may be saying that they do not intend to comply with USAID's requirements. In such a case, it should be very difficult for an Agency Agreement Officer to find the organization responsible, since one of the most basic underlying assumptions in any USG contract or assistance award is that the awardee will comply with all applicable Federal (and USAID) laws and regulations.

What does this change mean to Agreement Officers and Negotiators? First, it means that there will be a basic presumption (as in contracts) that recipients will comply with the government's requirements and the Agency will expect (and rely) on each recipient's ability to manage itself in accordance with the terms of the agreement., e.g., that they will employ, pay, promote, travel, etc. their employees and award and administer subagreements in accordance with the requirements stipulated in their agreements. This will result in less "micromanagement" of recipients by Agreement Officers, negotiators, COTRs and other project staff. Since we will be relying on the recipient to manage itself, we will be in a much stronger position to take remedial action if that management is found by subsequent program reviews, audits, etc. to be deficient. On the other hand, this approach does not relieve Agreement Officers and negotiators of their basic responsibility to assure that agreement costs/prices are fair and reasonable. Just because a prospective recipient has certified its systems does not mean that USAID should automatically accept, among other things, proposed salary levels, etc. i.e., a proposed employee in a proposal may have supportable salary level of \$90,000 per year but if the position proposed for the person is really only a \$60,000 per year position, perhaps the wrong person is being proposed (or maybe the recipient doesn't understand the job to be done). In any event, the recipient should be expected to justify the levels of costs in their proposal to the satisfaction of the Agreement Officer/negotiator. Once the cost levels are determined to be fair and reasonable at the time of award the Agreement Officer/negotiator will have their agreement administration efforts supplemented by annual A-133 audits which will review the recipient's compliance with the government's requirements and the effectiveness of their internal management controls. Again this audit support does not relieve the Agreement Officer/negotiator and/or COTR from their responsibility to administer the agreement.

Attachments:

1. Personnel Systems Checklist
2. Procurement System Checklist
3. Travel System Checklist
4. Sample Recipient Certificate of Compliance

Basic Reminder Checklists

NOTE: The items on the checklists presented below are not intended to be comprehensive, but to highlight particular areas of USAID concern. When an authorized officer of a non-profit organization signs the USAID systems certification form they are indicating their commitment to comply with all applicable Federal and USAID regulations (not just those included on the checklists).

Personnel Policy

The organization's Personnel Policy must, at a minimum:

- establish compensation policies for each position category, including salary, leave and other benefit entitlements that are uniformly followed for all of its employees;

- cover hiring, promotions, and dismissals;
 - be applicable to all employees, whether or not they are working on Government-funded awards;
- The allowable costs under the policy must be in accordance with the applicable cost principles established by the Office of Management and Budget in applicable OMB Circulars.

Travel Policy

The organization's Travel Policy must, at a minimum:

- establish procedures for how travel costs will be determined (e.g., per diem, actuals, etc.);
- establish internal travel approval requirements;
- cover both domestic and foreign travel by all employees, whether or not it is financed by the government.
- specify which class of air carriage is allowable in particular circumstances;
- for travel financed by the U.S. Government, conform to the requirements of the Fly America Act; and
- provide for any travel notification or approvals required by OMB Circulars and/or specific requirements in awards from USAID.

The allowable costs under the policy must be in accordance with the applicable cost principles established by the Office of Management and Budget in applicable OMB Circulars.

Procurement Policy

The organization's Procurement Policy must, at a minimum:

- include standards of conduct governing the performance of employees engaged in the award and administration of contracts and assistance agreements;
- provide that all procurements shall be conducted in a manner to provide, to the maximum extent practical, open and free competition;
- provide for positive efforts to utilize small businesses, minority-owned firms, and women-owned businesses whenever possible, including to the maximum extent possible, providing information to the USAID Office of Small and Disadvantaged Business Utilization 45 days prior to placing a contract or order in excess of the small purchase threshold;
- provide that some form of cost or price analysis be made and documented for every procurement action; and
- require that appropriate procurement records be maintained.

For organizations governed by OMB Circular A-110 (codified by USAID at 22 CFR Part 226), the policy must be consistent with the standards set forth in 22 CFR 226.40 through 226.49.

+++++

[LETTERHEAD]

Date

(RECIPIENT CERTIFICATE OF COMPLIANCE)

To: Mr. Steven Tashjian
Contracting Officer
M/OP/PS/OCC

I, _____, _____, as a legally

Name (Printed or Typed) Title

authorized representative of _____

Organization Name

do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

Signature

Type or Print Name

Position Title

Date of Execution

Mandatory Reference: 303

File Name: 303mac_091301_cd25

Last Revised: 09/13/2001

FORMERLY APPENDIX 3C OF HANDBOOK 13

Assurance of Compliance With Laws and Regulations

Governing Nondiscrimination in Federally Assisted Programs

_____ (hereinafter called the "Applicant")

(Name of Applicant)

hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from AID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d)

which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance,

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance,

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds,

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et. seq.) which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) AID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

If the Applicant is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the Applicant establishes to the satisfaction of the AID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of or participants in such program.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Applicant by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial

enforcement of this Assurance. This Assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the Applicant.

(Applicant)

BY (Signature) _____ TITLE _____

TYPED NAME _____ DATE _____